Doc 9735-AN/960
Corrigendum No. 2
(English and Arabic only)
30/9/02

Transmittal Note

SAFETY OVERSIGHT AUDIT MANUAL

First Edition — 2000

Corrigendum No. 2

To incorporate this corrigendum:

a) replace pages (v), 6A-1 and 9-15 with the attached new pages bearing the notation $\frac{\text{Corr. No. 2}}{30/9/02}$;

b) record the entry of this amendment on page (ii).

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Doc 9735-AN/960
Amendment No. 1
1/3/02

Transmittal Note

SAFETY OVERSIGHT AUDIT MANUAL

First Edition — 2000

Amendment No. 1

To incorporate Amendment No. 1 dated 1/3/02:

a) remove existing pages 5-7 to 5-9 and insert attached new page 5-8;

b) insert new Chapter 6A after existing Chapter 6;

c) insert new Appendices E, F, G and H;

d) record the entry of this amendment on page (ii).

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Doc 9735-AN/960
1/12/00
CORRIGENDUM
(ENGLISH ONLY)

SAFETY OVERSIGHT AUDIT MANUAL

FIRST EDITION — 2000

CORRIGENDUM

Please replace the following pages by the attached new pages:

Chapter 9, pages 9-9 and 9-14
Chapter 11, page 11-40.

Record the entry of this corrigendum on page (ii).

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Doc 9735
AN/960

Safety Oversight Audit Manual

Approved by the Secretary General
and published under his authority

First Edition — 2000

International Civil Aviation Organization

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Doc 9735
AN/960

Safety Oversight Audit Manual

Approved by the Secretary General and published under his authority

First Edition — 2000

International Civil Aviation Organization

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AMENDMENTS

The issue of amendments is announced regularly in the *ICAO Journal* and in the monthly *Supplement to the Catalogue of ICAO Publications and Audio-visual Training Aids*, which holders of this publication should consult. The space below is provided to keep a record of such amendments.

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Foreword

This manual is one of a series of documents prepared in connection with the ICAO universal safety oversight audit programme. It provides standard auditing procedures for the conduct of audits of Contracting States' safety oversight systems. These standard auditing procedures are not Standards forming part of an ICAO Annex in the sense of Articles 37 and 38 of the Convention on International Civil Aviation, but have been developed by the ICAO Safety Oversight Audit Section (SOA) as part of proven industrial management auditing concepts. Standard auditing procedures will ensure that audits are completed consistently and in accordance with a systematic, objective and proven process.

The primary objective of this manual is to assist both ICAO Contracting States and ICAO audit team members by explaining the standard auditing procedures and audit follow-up actions. Thus, while providing audit team members with standard auditing procedures to follow, it will also benefit States to be audited by ensuring transparency and fairness.

This manual was initially developed in a preliminary version for application to ICAO safety oversight audits commencing in January 1999, in accordance with Resolution A32-11 of the 32nd Session of the ICAO Assembly (22 September to 2 October 1998) and the decision of the ICAO Council to implement the mandatory ICAO universal safety oversight audit programme. The manual has since been improved and amended as more experience was gained and is now published as the first edition under the authority of the Secretary General.

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Table of Contents

Chapter 1. Introduction and Definitions 1-1
1.1 Purpose of the manual 1-1
1.2 Structure of the manual 1-1
1.3 Related manuals 1-1
1.4 Safety oversight-related activities 1-2
1.5 Definitions and audit terminology 1-2

Chapter 2. The ICAO Universal Safety Oversight Audit Programme 2-1
2.1 Safety oversight background 2-1
2.2 DGCA Conference 2-1
2.3 Council approval 2-1
2.4 Assembly approval 2-1

Chapter 3. Audit Policy 3-1
3.1 Programme objective 3-1
3.2 Safety oversight audit objectives 3-1
3.3 Authority for the audit programme 3-1
3.4 Principles 3-1
3.5 Confidentiality 3-2
3.6 Annual audit and audit follow-up plan .. 3-2
3.7 Deferrals 3-3
3.8 Language of the audit 3-3
3.9 Quality assurance 3-3
3.10 The role of ICAO Regional Offices 3-3
3.11 The role of regional organizations 3-4
3.12 Observers 3-4

Chapter 4. Audit Programme Management ... 4-1
4.1 ICAO Safety Oversight Audit Section .. 4-1
4.2 Audit personnel 4-1
4.3 Training 4-2
4.4 Approval of auditors 4-2
4.5 Audit teams 4-2
4.6 Audit team leader 4-2
4.7 Audit team members 4-3

Chapter 5. Audit Procedures 5-1
5.1 Audit overview 5-1
5.2 Notification 5-1
5.3 Annual audit and audit follow-up plan . 5-1
5.4 Memorandum of Understanding (MOU) 5-1
5.5 Assignment of an audit team 5-4
5.6 Review of documents and records 5-4
5.7 State-specific safety oversight audit plan 5-4
5.8 Pre-audit meeting 5-5
5.9 On-site audit 5-5
5.10 Audit protocol 5-6
5.11 Audit findings — non-compliance, non-conformance and non-adherence .. 5-6
5.12 Post-audit meeting 5-7
5.13 Corrective action plan 5-7
5.14 Audit reports 5-7
5.15 Follow-up action 5-8
5.16 Audit follow-up 5-8
5.17 Order of audits 5-8
5.18 Audit team leader's mission report 5-8
5.19 State audit feedback form 5-9

Chapter 6. Audit Reports 6-1
6.1 General 6-1
6.2 Audit interim report 6-1
6.3 Preliminary review brief 6-2
6.4 Audit final report 6-2
6.5 Audit summary report 6-2
6.6 State corrective action plan 6-3

Chapter 6A. Audit Follow-up Procedures 6A-1
6A.1 Audit follow-up and action plan validation 6A-1

Chapter 7. Audit Protocol — Primary Aviation Legislation and Civil Aviation Regulations ... 7-1
7.1 General 7-1
7.2 Content of the audit protocol 7-1
Audit protocol 7-3

Chapter 8. Audit Protocol — Organization of the State's Civil Aviation Authority 8-1
8.1 General 8-1
8.2 Content of the audit protocol 8-1
Audit protocol 8-3

Chapter 9. Audit Protocol — Personnel Licensing (Annex 1) 9-1
9.1 General 9-1
9.2 Content of the audit protocol 9-1
Audit protocol 9-3

Chapter 10. Audit Protocol — Operation of Aircraft (Annex 6) 10-1
10.1 General 10-1
10.2 Content of the audit protocol 10-1
Audit protocol 10-3

Chapter 11. Audit Protocol — Airworthiness of Aircraft (Annex 8) 11-1
11.1 General 11-1
11.2 Content of the audit protocol 11-1
Audit protocol 11-3

Appendix A. Safety Oversight Audit Section (SOA) Organizational Structure A-1

Appendix B. Sample Memorandum of Understanding (MOU) B-1

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Appendix C. Reporting Forms C-1

Appendix D. Reporting Forms on the Status of Implementation or Differences to SARPs D-1

Appendix E. Audit Follow-up Reporting Forms E-1

Appendix F. USOAP/AFDD Audit Follow-up Checklists F-1

Appendix G. Audit Follow-up Observation/ Recommendation Form G-1

Appendix H. Summary of Findings Update Form H-1

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Chapter 1

INTRODUCTION AND DEFINITIONS

1.1 PURPOSE OF THE MANUAL

1.1.1 The ICAO safety oversight audit manual is published primarily to provide the ICAO universal safety oversight audit programme auditors and Contracting States with guidance and information on standard auditing procedures for the conduct of safety oversight audits.

1.1.2 The safety oversight audit manual also communicates the background for the decision by the 32nd Session of the Assembly to establish the ICAO universal safety oversight audit programme, and it provides information and linkages with other ICAO reference documents.

Note.— Hereafter, the programme will be referred to as the "universal safety oversight audit programme (USOAP)" while the unit established to manage the programme is referred to as the "Safety Oversight Audit Section (SOA)".

1.2 STRUCTURE OF THE MANUAL

1.2.1 The manual contains standard auditing procedures for the conduct of safety oversight audits. Explanatory and guidance material is included where considered necessary for clarity and guidance.

1.2.2 More detail and expansion of the standard auditing procedures and explanatory material follow the principal standard auditing procedure statement.

1.3 RELATED MANUALS

1.3.1 The safety oversight audit manual establishes standard auditing procedures for the conduct of ICAO safety oversight audits. In support of the programme, ICAO has also published or will publish related documents providing procedural guidance and training material for auditors. The following documents are produced and maintained by the SOA:

- auditors' procedures handbook;
- auditors' training manual; and
- SOA Administration and Organization Handbook.

Note.— The SOA Administration and Organization Handbook is an internal SOA handbook detailing the establishment and function of the SOA.

1.3.2 The USOAP references the Chicago Convention, the Standards and Recommended Practices (SARPs) contained in the Annexes, and the related guidance material presented in a number of ICAO documents. Together, these documents contain the requirements and guidelines that are subject to verification during the safety oversight audit. Although the programme will eventually be expanded to cover other Annexes, the USOAP is initially limited to three disciplines:

- Annex 1 — *Personnel Licensing*;
- Annex 6 — *Operation of Aircraft*; and
- Annex 8 — *Airworthiness of Aircraft*.

Safety-related SARPs associated with these three disciplines are also contained in other Annexes and will be referenced from time to time.

1.3.3 Other important documents referenced in the safety oversight audit programme are as follows:

- Doc 7300 — *Convention on International Civil Aviation;*
- Doc 8335 — *Manual of Procedures for Operations Inspection, Certification and Continued Surveillance*;
- Doc 8984 — *Manual of Civil Aviation Medicine*;
- Doc 9376 — *Preparation of an Operations Manual*;
- Doc 9379 — *Manual of Procedures for the Establishment and Management of a State's Personnel Licensing System*;
- Doc 9389 — *Manual of Procedures for an Airworthiness Organization*;
- Doc 9642 — *Continuing Airworthiness Manual*; and
- Doc 9734 — *Safety Oversight Manual — Part A — The Establishment and Management of a State's Safety Oversight System.*

Note.— The ICAO Catalogue of Publications *provides a complete list of documents available to States.*

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Table 1-1. Responsibilities for delivery of a safety oversight audit

ENTITY		RESPONSIBILITIES
Contracting State		• Establishment of the aviation safety regulatory framework and ongoing safety oversight for all aviation disciplines in the State.
International Civil Aviation Organization (ICAO)	Safety Oversight Audit Section (SOA)	• Management and delivery of the universal safety oversight audit programme. • Development and maintenance of the safety oversight standard auditing procedures. • Quality control of the audit process and audit products.
	Air Navigation Bureau Sections (Headquarters)	• Establishing SARPs and guidance material for safety oversight. • Providing ICAO-approved auditors for audit missions, as required. • Providing subject matter experts for training activities related to the safety oversight audit programme, as required. • Providing the subject matter expertise for the safety oversight audit programme.
	Regional Offices	• Providing ICAO-approved auditors for audit missions. • Following-up implementation of corrective action plans and providing advice to States. • Coordinating regional activities related to the safety oversight audit programme.
Regional organizations		• May be engaged under special agreement to assist States in the provision of safety oversight and participate in regional safety oversight cooperative programmes. • May also enter into a cooperative agreement with ICAO on issues related to the safety oversight audit programme.

1.4 SAFETY OVERSIGHT-RELATED ACTIVITIES

Table 1-1 describes activities of the various bodies concerned with the delivery of an ICAO safety oversight audit.

1.5 DEFINITIONS AND AUDIT TERMINOLOGY

1.5.1 When the following terms are used in this manual or other ICAO safety oversight-related manuals, they have the meanings indicated.

Adequate. Fulfilling minimal requirements; satisfactory; acceptable; sufficient.

Assessment. An appraisal of procedures or operations based largely on experience and professional judgment.

Audit. A systematic and objective review of a State's aviation framework to verify compliance with the provisions of the Chicago Convention or national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

Audit activities. Those activities and procedures by which information is obtained to verify that the audited State is in conformance with, or adherence to, applicable SARPs, procedures and good aviation safety practices. Such activities may include, but are not limited to, interviews, observations, inspections and the review of files and documents.

Audit finding. The determination with respect to the compliance with the provisions of the Chicago

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Convention or national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

Audit follow-up. An audit of a Contracting State to determine progress in implementing recommendations or the corrective action plan which resulted from an ICAO safety oversight audit, and to include supplementary findings and recommendations if made incidental to the audit follow-up.

Audit preparation briefing for team members. A pre-audit briefing provided to team members by the audit team leader, the purpose of which is to provide information and instructions, as appropriate, directly related to the specific State audit to be conducted.

Audit report. A standardized means of reporting the audit findings to designated authorities.

Audit team leader. The individual designated by the Chief, Safety Oversight Audit Section (C/SOA) to be responsible for the conduct of an audit, including the consolidation and completion of the audit interim report.

Audited State. The ICAO Contracting State that is the subject of a safety oversight audit.

Certification. The process of determining competence, qualification, or quality on which an aviation document is based.

Conformance. The state of meeting the requirements of an ICAO Standard.

Corrective action plan. An action plan submitted to ICAO by an audited Contracting State, detailing the action the Contracting State proposes to take, on the basis of recommendations made by an ICAO audit team. Implementation of the corrective action plan should bring the audited State into full compliance with the provisions of the Chicago Convention or national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

Inspection. The basic activity of an audit, which involves examination of the specific characteristics of the safety oversight programme of the Contracting State.

Non-adherence. A deficiency in characteristic, documentation or procedure with respect to a recommended practice, procedure, guideline or good aviation safety practice.

Non-compliance. A deficiency in characteristic, documentation or procedure with respect to provisions of the Chicago Convention or a national regulation.

Non-conformance. A deficiency in characteristic, documentation or procedure with respect to an ICAO Standard.

Objective evidence. Information which can be proved to be true, based on facts obtained through independent observation, measurement, test or other means.

Post-audit meeting. A meeting of the ICAO audit team and the representatives of the audited State at the end of the audit, the purpose of which is to provide the State authorities with a brief on audit findings and proposed recommendations to enable the State to start working on its corrective action plan.

Pre-audit meeting. A meeting of the ICAO audit team and the representatives of the State to be audited before the commencement of the audit, the purpose of which is to provide the State authorities with information on the audit process and the scope of the audit.

Procedure or process. A series of steps followed in a methodical manner to complete an activity (what shall be done and by whom; when, where and how it shall be completed; what materials, equipment, and documentation shall be used, and how it shall be controlled).

Protocol. A document that organizes audit procedures into a general sequence of audit steps and describes the steps in terms of specified standards or recommended practices to be verified.

Safety. A condition in which the risk of harm or damage is limited to an acceptable level.

Safety oversight pre-audit questionnaire. A questionnaire designed to collect specific information in advance of the audit to assist in audit planning and conduct.

Scope. The areas of a State's aviation system to be audited.

Standard auditing procedures. Established criteria governing the conduct of an audit, aimed at measuring a Contracting State's level of compliance, conformance or adherence.

Verification. The independent review, inspection, examination, measurement, testing, checking, observation and monitoring to establish and document that products, processes, practices, services and documents conform to specified standards. This includes evaluating the effectiveness of management systems.

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Chapter 2

THE ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME

2.1 SAFETY OVERSIGHT BACKGROUND

2.1.1 On 7 June 1995, the ICAO Council approved the ICAO safety oversight programme as well as the related mechanism for financial and technical contributions. The programme was subsequently endorsed by the 31st Session of the Assembly and became operational in March of 1996. The programme was a voluntary assessment of a State's implementation of the ICAO Standards and Recommended Practices (SARPs), and reports were provided only to the assessed States.

2.1.2 During the first two years of operation, the ICAO safety oversight assessment programme detected numerous deficiencies in the establishment of effective safety oversight programmes in Contracting States.

2.2 DGCA CONFERENCE

2.2.1 The critical need for increased attention to global aviation safety led to the convening of a conference of Directors General of Civil Aviation (DGCA) in November 1997. These civil aviation leaders from around the world gathered to address the problem and to develop a new strategy for enhancing the global capacity for safety oversight.

2.2.2 The DGCA Conference resulted in unanimous agreement to change the mandate of the safety oversight programme. The Conference made a total of 38 recommendations, the most significant being:

a) that regular, mandatory, systematic and harmonized safety audits be introduced, to include all Contracting States and to be carried out by ICAO;

b) that greater transparency and increased disclosure be implemented;

c) that the programme be expanded to include other technical fields at the appropriate time; and

d) that the ICAO Council ensure the allocation of adequate resources.

2.3 COUNCIL APPROVAL

2.3.1 Following the 1997 DGCA Conference, the ICAO Council completed a preliminary review of the conclusions and recommendations and instructed the Secretary General to prepare and submit to Council an action plan addressing the 38 recommendations of the DGCA Conference. An action plan was subsequently considered by the Council, and the Secretary General was requested to complete a plan of action containing resource estimates and schedule.

2.3.2 On 6 May 1998, the Council reviewed all material and approved the establishment of an ICAO universal safety oversight audit programme.

2.4 ASSEMBLY APPROVAL

2.4.1 The 32nd Session of the ICAO Assembly adopted Resolution A32-11 — 'Establishment of an ICAO universal safety oversight audit programme', which:

a) resolved that the universal safety oversight audit program be established, comprising regular, mandatory, systematic and harmonized safety audits, to be carried out by ICAO; that such universal safety oversight audit programme shall apply to all Contracting States; and that greater transparency and increased disclosure be implemented in the release of audit results;

b) directed the Council to bring into effect, from 1 January 1999, a universal safety oversight audit programme accordingly, including a systematic reporting and monitoring mechanism on the implementation of safety-related Standards and Recommended Practices;

c) urged all Contracting States to agree to audits to be carried out upon ICAO's initiative, but always with the audited State's consent, by signing a bilateral memorandum of understanding with the Organization, as the principle of sovereignty should be fully respected;

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d) directed the Council to apply the resources made available in order to implement the ICAO universal safety oversight audit programme; and

e) requested the Council to report to the next ordinary Session of the Assembly on the implementation of the programme, and to present to the Session proposals for funding the programme on a long-term basis.

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Chapter 3

AUDIT POLICY

3.1 PROGRAMME OBJECTIVE

The objective of the universal safety oversight audit programme is to promote global aviation safety through auditing Contracting States, on a regular basis, to determine the status of States' implementation of safety oversight and relevant ICAO Standards and Recommended Practices, associated procedures, guidance material and safety-related practices.

ICAO Assembly Resolution A32-11, dated 1 October 1998, forms the basis of the ICAO policy and objectives for conducting safety oversight audits.

3.2 SAFETY OVERSIGHT AUDIT OBJECTIVES

The primary objectives of an ICAO safety oversight audit are to:

- determine the degree of conformance of the State in implementing ICAO Standards;
- observe and assess the State's adherence to ICAO Recommended Practices, associated procedures, guidance material and safety related practices;
- determine the effectiveness of a State's implementation of a safety oversight system through the establishment of legislation, regulations, safety authority and inspection and auditing capability;
- provide advice to Contracting States to improve their safety oversight capability.

In addition to the primary objectives of the safety oversight audit described in the box above, global aviation safety will benefit from the disclosure of audit information through:

a) the transmittal of an audit summary report to all Contracting States, and

b) the publication in Annex Supplements of differences to SARPs,

which will provide sufficient safety information to permit Contracting States to make decisions with respect to their responsibilities for safety oversight.

3.3 AUTHORITY FOR THE AUDIT PROGRAMME

3.3.1 The 32nd Session of the ICAO Assembly approved the ICAO universal safety oversight audit programme, thus giving authority to the Council to establish the programme.

3.3.2 The Chief of the Safety Oversight Audit Section (C/SOA) is responsible for the management of the safety oversight programme and for the conduct of safety oversight audits in accordance in the SOAM.

3.3.3 C/SOA is therefore the convening authority for audits approved by the Secretary General in accordance with the annual audit and follow-up audit plan. C/SOA is authorized to plan the conduct of audits, to select audit team members and to assign the audit team leader to specific audits in accordance with the qualification standards established in the SOAM.

3.4 PRINCIPLES

ICAO safety oversight audit programme principles

- sovereignty
- universality
- transparency and disclosure
- timeliness
- all-inclusiveness
- consistency and objectivity
- fairness
- quality

3.4.1 Sovereignty

Every State has complete and exclusive sovereignty over the airspace of its territory. Accordingly, ICAO fully respects a sovereign State's responsibility and authority for safety

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oversight, including its decision-making powers with respect to implementing corrective actions related to audit findings.

3.4.2 Universality

Assembly Resolution A32-11 explicitly requires ICAO to conduct regular and mandatory safety oversight audits on all Contracting States. Safety oversight audits will therefore be conducted on all Contracting States in accordance with an audit programme established by ICAO and agreed upon by the States.

3.4.3 Transparency and disclosure

The Assembly Resolution and the Council decisions based on the Recommendation of the 1997 DGCA Conference also call for transparency and increased disclosure. As a result, an audit summary report of each completed audit, containing sufficient information so that other Contracting States can form an opinion as to the safety oversight status of the audited State, will be made available to all Contracting States. The audit summary report shall include an abstract of the overall findings and recommendations of the safety oversight audit team, of the actions proposed by the audited State to remedy deficiencies, if any, and of the progress made by the audited State in the implementation of the corrective action plan.

3.4.4 Timeliness

Results of the audits will be produced and submitted on a timely basis in accordance with a predetermined schedule for the preparation and submission of audit reports.

3.4.5 All-inclusiveness

The scope of the ICAO universal safety oversight audit programme is currently limited to Annexes 1, 6 and 8. It is expected to expand at appropriate times to include other Annexes, in order to ensure implementation of SARPs in all technical fields in ICAO Contracting States' civil aviation systems.

3.4.6 Systematic, consistent and objective

ICAO safety oversight audits will be conducted in a consistent and objective manner. Standardization and uniformity in the scope, depth and quality of audits will be assured through an initial and refresher training of all auditors, the provision of guidance material, and the implementation of an audit quality control system within the Safety Oversight Audit Section.

3.4.7 Fairness

Audits are to be conducted in a manner such that Contracting States are given every opportunity to monitor, comment on, and respond to, the audit process, but to do so within the established time frame.

3.4.8 Quality

Safety oversight audits will be conducted by appropriately trained and qualified auditors and in accordance with widely recognized auditing concepts.

3.5 CONFIDENTIALITY

Safety oversight audit reports (interim and final) are confidential and will only be available to the audited State and the Regional Director of the accredited ICAO Regional Office. An audit summary report containing an abstract of the findings and recommendations and of the proposed State corrective action plan and action implemented will, however, be distributed to all Contracting States (see also 3.4.3 — *Transparency and disclosure*).

3.5.1 Among other things, this manual explains standard auditing procedures for conducting an ICAO safety oversight audit and the preparation and completion of audit reports. Policy and instruction for the preparation and distribution of the non-confidential audit summary report are contained in Chapter 6, Section 6.6 of this manual. All other reports and material collected during an audit will remain confidential between the audited State, the accredited ICAO Regional Office and ICAO Headquarters, as appropriate, unless explicitly authorized by the audited State. All confidential material relating to an ICAO safety oversight audit shall be stored in a secured place.

3.5.2 Information regarding a refusal or deferral by a Contracting State to undergo a safety oversight audit will not be treated as confidential information.

3.6 ANNUAL AUDIT AND AUDIT FOLLOW-UP PLAN

The SOA shall prepare an annual audit and audit follow-up plan, which shall be made available to all Contracting States. The annual audit plan will be updated and distributed bi-annually.

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3.6.1 Contracting States scheduled for an audit or audit follow-up should advise ICAO of their agreement to the audit or audit follow-up plan as soon as possible, and in any event at least four months before the commencement of the audit or audit follow-up.

3.7 DEFERRALS

States are urged to cooperate with ICAO and accept the intended audit period indicated in the audit and audit follow-up plan unless they have a compelling reason not to do so. Should a State be unable to accept an ICAO audit or audit follow-up mission during the proposed period, it should notify ICAO of the situation not less than two months prior to the scheduled start of the audit or follow-up audit.

3.7.1 Audit deferrals are strongly discouraged as they have a domino effect on the audit plan and cause considerable difficulty for ICAO and other Contracting States affected by the schedule change.

3.7.2 A request for deferral should be addressed to the Secretary General and should be signed by a senior aviation authority of the State, clearly stating the compelling reason for not accepting the audit or audit follow-up as planned.

3.8 LANGUAGE OF THE AUDIT

The State to be audited shall indicate the preferred ICAO language to be used for the conduct of the safety oversight audit.

As much as possible, the audit shall be conducted and the audit reports shall be written in the ICAO language preferred by the State. If the audit has to be made in a language other than that selected by the State, the audit reports will be translated and made available to the State in accordance with the timeline specified in the MOU.

ICAO will ensure that at least one of the audit team members will have command of the ICAO language chosen by the State for the audit.

3.9 QUALITY ASSURANCE

The SOA will establish and maintain a quality assurance programme to ensure confidence in the systematic and objective delivery of all aspects of the audits, including their planning, conduct, reporting and follow-up.

3.9.1 An internal quality assurance system has been established and managed under the leadership of C/SOA. An "SOA Administration and Organization Handbook" describing the internal and external quality assurance process has been developed by SOA. This handbook describes members, responsibilities, management review processes and other requirements enabling Contracting States to have a high degree of confidence in the process.

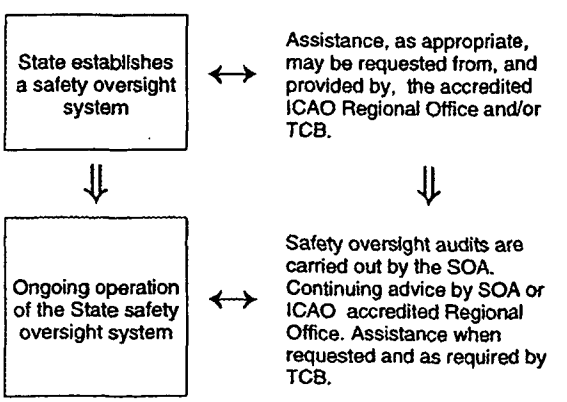
3.9.2 ICAO may, in due course, establish a quality assurance programme external to the SOA.

3.10 THE ROLE OF ICAO REGIONAL OFFICES

ICAO Regional Offices have the primary responsibility for monitoring implementation of States' corrective action plans following a safety oversight audit and for providing advice to Contracting States whenever necessary.

The Regional Officers' Safety Oversight will participate in safety oversight audits and other USOAP activities as assigned, and will also coordinate regional activities related to safety oversight issues.

3.10.1 Contracting States have a responsibility, under the Chicago Convention, for safety oversight of their respective aviation industry, airspace and infrastructure. The USOAP is established to assess conformance with, or adherence to, ICAO SARPs, procedures, guidance material and safety-related practices. ICAO also has a mandate to assist States, where possible, in the establishment of effective State safety oversight systems. The ICAO Technical Cooperation Bureau (TCB) has prime responsibility for providing technical assistance to States as required and when requested. The SOA, through its auditor staff, may provide advice to States. The diagram below depicts actions related to the establishment of a State's safety oversight system and the provision of advice and assistance to States by ICAO.



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3.10.2 ICAO Regional Offices must be familiar with the status of safety oversight in States within their respective regions. Regional Officers, Safety Oversight will be trained and approved as ICAO audit team members; this will benefit the programme by ensuring continuing availability of expertise within the Regions.

3.10.3 In addition to participating in audits and follow-up audits, the ICAO Regional Office may also be required to conduct a preliminary review of the State's progress towards the implementation of the corrective action plan.

3.11 THE ROLE OF REGIONAL ORGANIZATIONS

Regional civil aviation organizations, such as the European Civil Aviation Conference (ECAC), the Latin American Civil Aviation Commission (LACAC), and the African Civil Aviation Commission (AFCAC), may enter into a cooperation agreement with ICAO on behalf of their member States. This agreement may include activities such as assistance provided to ICAO in conducting audits and follow-up audits and other safety oversight related activities. ICAO can also enter into agreements with individual States for the long- or short-term secondment of national experts.

3.11.1 Participation by regional civil aviation organizations benefits global aviation safety by enhancing the safety oversight expertise base, which may also be used to improve safety-related activities in the regions or in individual Contracting States, and by facilitating the exchange of safety-related information.

3.11.2 C/SOA may, as required, assign team members from among experts made available to ICAO by Contracting States or by regional civil aviation organizations in accordance with applicable cooperation agreements. Experts assigned for audit duties with ICAO will be appropriately qualified and approved by C/SOA. Assignment of such experts will be made in coordination with their respective organizations and authorities.

3.12 OBSERVERS

Observers of ICAO safety oversight audits may be permitted with the approval of C/SOA. Observers would generally be audit team members assigned to on-the-job training. However, other personnel may also be allowed to participate as observers if, in the opinion of C/SOA, their participation will benefit the overall safety objective of the programme.

3.12.1 Observers of an audit are personnel other than ICAO-approved auditors, assigned to participate in the audit for training purposes.

3.12.2 In specific audit missions, an interpreter or advisor may be assigned to facilitate communications between the audited State and the audit team and mainly to provide assistance to the safety oversight audit team.

3.12.3 Participation of observers shall be made known to the audited State in the same manner the audit team members are made known to the State and they shall also be included in the list of team members.

3.12.4 On occasion, the audited State may assign an observer or advisor to its team. Such individuals can participate in the audit of the State as "State representatives to the audit".

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Chapter 4

AUDIT PROGRAMME MANAGEMENT

This chapter provides information on the establishment and management of the ICAO Safety Oversight Audit Section (SOA), which is responsible for the management of the ICAO universal safety oversight audit programme.

4.1 ICAO SAFETY OVERSIGHT AUDIT SECTION

The ICAO Safety Oversight Audit Section is responsible for the management of the ICAO universal safety oversight audit programme and for all safety oversight related activities in ICAO.

4.1.1 The SOA is a section within the Air Navigation Bureau (ANB), ICAO Headquarters, Montreal. The SOA has its own organizational structure reflecting its most recent establishment as shown in Appendix A.

4.1.2 The present core staff of the section consists of a Chief (C/SOA), a Technical Coordinator (TC/SOA), a Training and Administrative Coordinator (TAC/SOA), two Standards and Procedures Officers and seven administrative support staff. Safety oversight auditors, as required, also form part of the core staff at Headquarters. The responsibilities and duties of the core staff are specified in the SOA Administration and Organization Handbook.

4.1.3 In addition to the core staff at ICAO Headquarters, the SOA has access to the services of the Regional Officers, Safety Oversight based in the seven ICAO Regional Offices. They are full partners in the activities of the SOA and are normally expected to participate in safety oversight audits and audit follow-ups and to assist in the organization of safety oversight seminars and workshops in their regions.

4.1.4 Additional temporary audit team members available to the SOA include experts seconded to the programme by Contracting States either directly or through a regional civil aviation organization. During an ICAO safety oversight audit assignment, such experts are considered ICAO staff members and are bound by the obligations and responsibilities of all international civil servants. Secondment to ICAO could be long-term (normally up to two years) or short-term (for a single mission or a series of missions). Long-term seconded experts form part of the core staff at Headquarters.

4.2 AUDIT PERSONNEL

All personnel assigned to ICAO safety oversight audit duty are first required to satisfy predetermined qualification criteria and training requirements.

4.2.1 Audit personnel must satisfy certain qualification and experience criteria. Examples of such criteria are that personnel must:

a) have extensive knowledge of civil air regulations and the regulatory procedures of a civil aviation authority;

b) have at least five years of recent experience as aviation legal expert, personnel licensing officer, aircraft operations inspector or airworthiness inspector working with a national civil aviation authority or equivalent experience working in international or regional civil aviation organizations, including at least two years of direct experience with aviation regulatory issues or the certification and inspection of both domestic and international air operators;

c) have, for operations and airworthiness auditors, a minimum of five years of industry experience in an area such as check pilot in air transport operations, supervisor and/or senior inspector in the airworthiness department of an air transport operator or aircraft maintenance organization;

d) hold or have held, where applicable, an appropriate licence or certificate of competency commensurate with the level of qualification and experience (proof of current licence/certificate held or of licences and certificates previously held may be required);

e) have adequate knowledge of relevant ICAO SARPs and guidance material (ICAO provides training on the application of relevant related Annexes and guidance material developed by ICAO);

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f) demonstrate motivation and the ability to write clearly and concisely;

g) have initiative, judgement, tact and the ability to maintain harmonious working relationships in a multicultural environment and appreciation of and sensitivity to cultural differences;

h) have command of one of the languages of the Organization (Arabic, Chinese, English, French, Russian, Spanish) and a working knowledge of English; and

i) have the ability to use office automation equipment and contemporary computer software.

4.2.2 It is desirable that audit personnel have managerial skills, related experience and knowledge of an additional ICAO language.

4.3 TRAINING

The SOA conducts safety oversight auditor training from time to time. All auditors are required to satisfactorily complete this training prior to being assigned as audit team members. Training is provided in accordance with the syllabus contained in the Safety Oversight Audit Training Manual.

4.3.1 Training provided to new audit team members will include on-the-job training, which should be successfully completed prior to being approved and assigned as an ICAO safety oversight audit team member.

4.3.2 The SOA is committed to providing regular ongoing training to all active safety oversight audit team members. Such training may be provided at ICAO Headquarters or in any ICAO region, depending on circumstances.

4.4 APPROVAL OF AUDITORS

After successfully completing the safety oversight auditor training course and on-the-job training, auditors must satisfy C/SOA that they have met the requirements, as specified in the Safety Oversight Audit Training Manual, for conducting ICAO safety oversight audits.

The SOA will maintain a current list of safety oversight auditors, which will also contain records of initial and recurrent training and of audits performed by each auditor approved by C/SOA. Such records will facilitate the assignment of auditors and help determine recurrent training requirements.

4.5 AUDIT TEAMS

Audit teams are assigned by C/SOA. Audit teams generally consist of three team members but this number may be augmented depending on the size and complexity of the State to be audited and when observers and/or advisors are assigned to the team.

4.5.1 Audit teams will consist of an audit team leader and a specialist auditor for each discipline included in the scope of the audit. An audit team leader may also serve as one of the specialist auditors. The number of auditors in a team depends on the scope, size and complexity of the audit. Whenever required, C/SOA may appoint additional team members as auditors, observers, advisors or interpreters.

4.5.2 Audit teams will be assigned for each audit and follow-up audit, and although the same auditors may be involved in multi-State audit missions, the team structure may change for each audit.

4.5.3 Prior to the commencement of an audit, the State will be advised of the audit team's composition.

4.6 AUDIT TEAM LEADER

C/SOA will appoint an audit team leader for each audit. The audit team leader assumes responsibility for the conduct and reporting of the audit in accordance with guidance and instructions provided by ICAO, including those found in this manual.

4.6.1 C/SOA will take into consideration qualifications, experience and relations with other team members when choosing an audit team leader.

4.6.2 In addition to specific tasks assigned by C/SOA, an audit team leader's responsibilities may include:

a) assisting the SOA in the preparation of the State-specific safety oversight audit plan;

b) coordinating with the Technical Coordinator, the Training and Administrative Coordinator and the Standards and Procedures Officer in matters related to the conduct of the audit;

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c) holding an audit preparation briefing for team members prior to the conduct of the audit;

d) conducting pre- and post-audit meetings with the State civil aviation authorities;

e) providing leadership and guidance, as necessary, to audit team members;

f) coordinating the development of the audit report and submitting it to SOA;

g) preparing the audit team leader's mission report; and

h) liaising with Regional Offices or regional civil aviation organizations when required by C/SOA or the Technical Coordinator.

4.7 AUDIT TEAM MEMBERS

Audit team members are assigned to specific audits by C/SOA and are responsible to the audit team leader. Audit team members are selected from the list of approved safety oversight auditors available to C/SOA.

4.7.1 Audit team members are required to be free from bias and influences that could affect their objectivity as ICAO audit team members. Audit team members must maintain independence from the audited State. They must always remain within the scope of the audit, display integrity, exercise objectivity and remain alert to any indication of evidence that may influence the audit result.

4.7.2 In addition to the specific tasks assigned by C/SOA or the audit team leader, the audit team member's responsibilities may include:

a) communicating and clarifying audit requirements;

b) planning and carrying out assigned responsibilities effectively and efficiently;

c) documenting all findings and observations;

d) developing a report of findings and recommendations;

e) assessing the effectiveness of the corrective action plan submitted by an audited State;

f) submitting to the SOA, through the audit team leader, all confidential documents and notes pertaining to an audit; and

g) cooperating with and assisting the audit team leader at all times during the preparation, conduct and completion of the audit process.

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Chapter 5

AUDIT PROCEDURES

5.1 AUDIT OVERVIEW

5.1.1 This chapter describes the standard auditing procedures and significant elements of the procedures applied in the ICAO universal safety oversight audit programme. Detailed organizational procedures are provided in the auditors' procedures handbook.

5.1.2 The establishment of standard auditing procedures does not eliminate the need for skilled and experienced judgment by ICAO safety oversight auditors. State-specific issues and the structure of the State aviation industry and civil aviation authority will necessarily shape the scope of the safety audits and the manner of proceeding. This serves as an example of the need for standardization in a qualitative sense, as professional judgment based on proper training and experience must be a standard requirement.

5.1.3 The timeline (cycle of the safety oversight audit process) for ICAO and audited State activities following an audit is illustrated in Figures 5-1(a) and 5-1(b).

5.2 NOTIFICATION

ICAO should inform States of the scheduled audit period, normally at least six months prior to the commencement of an audit or an audit follow-up. States should confirm agreement with the scheduled audit period and return a signed Memorandum of Understanding to ICAO, as soon as possible, and in any case at least four months prior to the commencement of the audit.

5.2.1 An ICAO Contracting State is formally notified of an audit by means of a letter signed by the Secretary General. This formal notification follows the annual audit and audit follow-up plan forwarded to all Contracting States twice a year.

5.2.2 A State-specific Memorandum of Understanding (MOU) signed by the Secretary General will be attached to the letter as well as the "Summary of State's civil aviation activities" questionnaire and other pertinent information regarding the audit to be conducted. The letter will also contain a request for the MOU to be countersigned by the appropriate authority, and for the "Summary of State's civil aviation activities" questionnaire to be returned to ICAO within the indicated time period. The accredited ICAO Regional Office will be informed of the formal request for audit and will be requested to follow up the initiative.

5.3 ANNUAL AUDIT AND AUDIT FOLLOW-UP PLAN

An annual audit and audit follow-up plan will be prepared by the ICAO Safety Oversight Audit Section and forwarded to all Contracting States as an attachment to a State Letter from the Secretary General.

The ICAO annual audit and audit follow-up plan consists of a fixed programme of audits and audit follow-ups for a period of twelve months. The annual audit and audit follow-up plan is a firm plan and States are urged to cooperate with ICAO to ensure its implementation.

5.4 MEMORANDUM OF UNDERSTANDING (MOU)

Prior to the commencement of an audit, the State should agree to the contents of the MOU signed by the ICAO Secretary General and forwarded to the State as an attachment to the formal confirmation and should return a countersigned copy of the MOU to ICAO.

5.4.1 The MOU will confirm that the safety oversight audit will be conducted in accordance with the terms specified in the MOU and on the basis of the criteria contained in this manual. No safety oversight audit will be undertaken unless an appropriately signed MOU has been returned to ICAO.

5.4.3 A copy of a generic MOU approved by the ICAO Council is provided in Appendix B to this manual.

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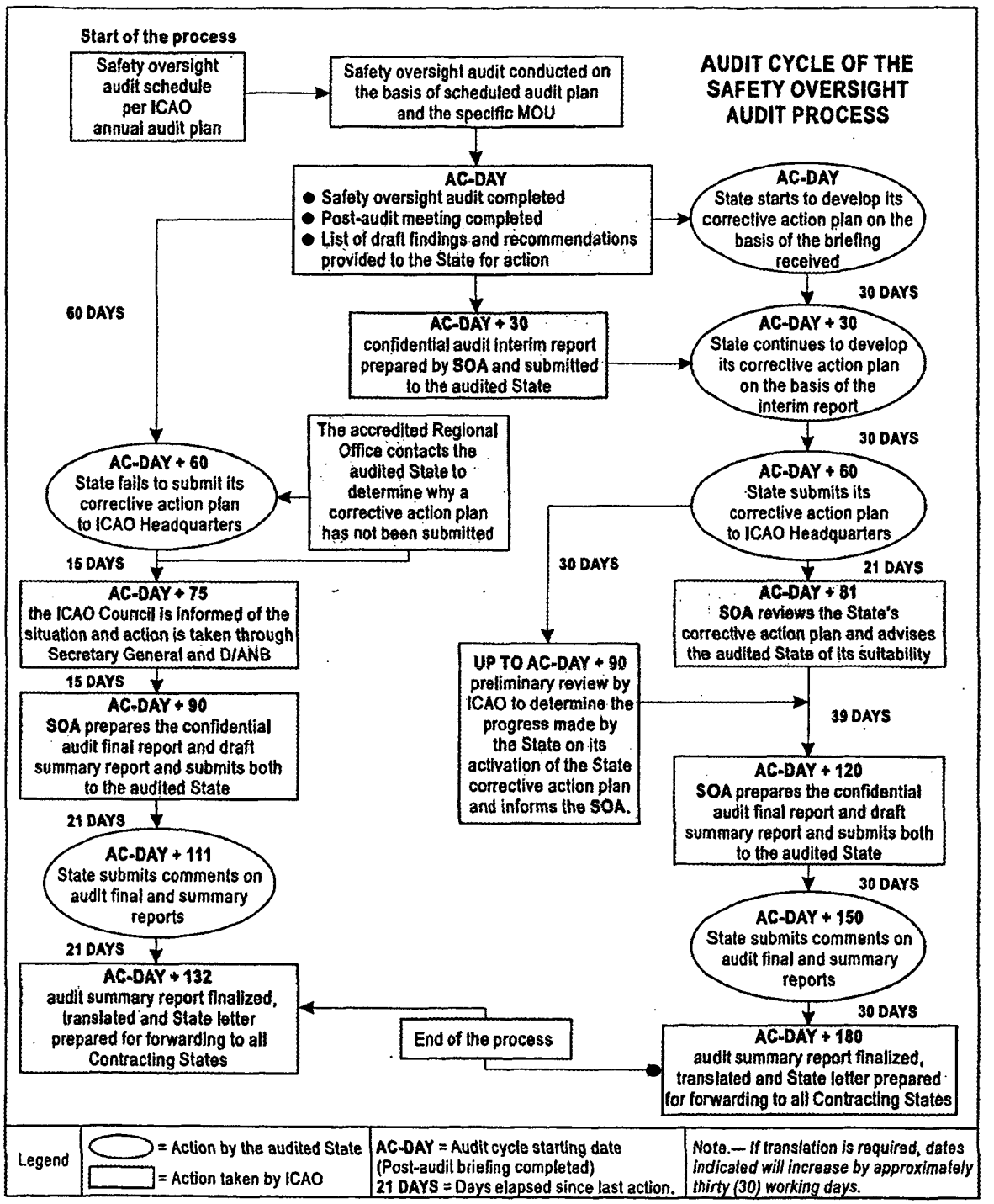

Figure 5-1(a). Audit cycle of the safety oversight audit process

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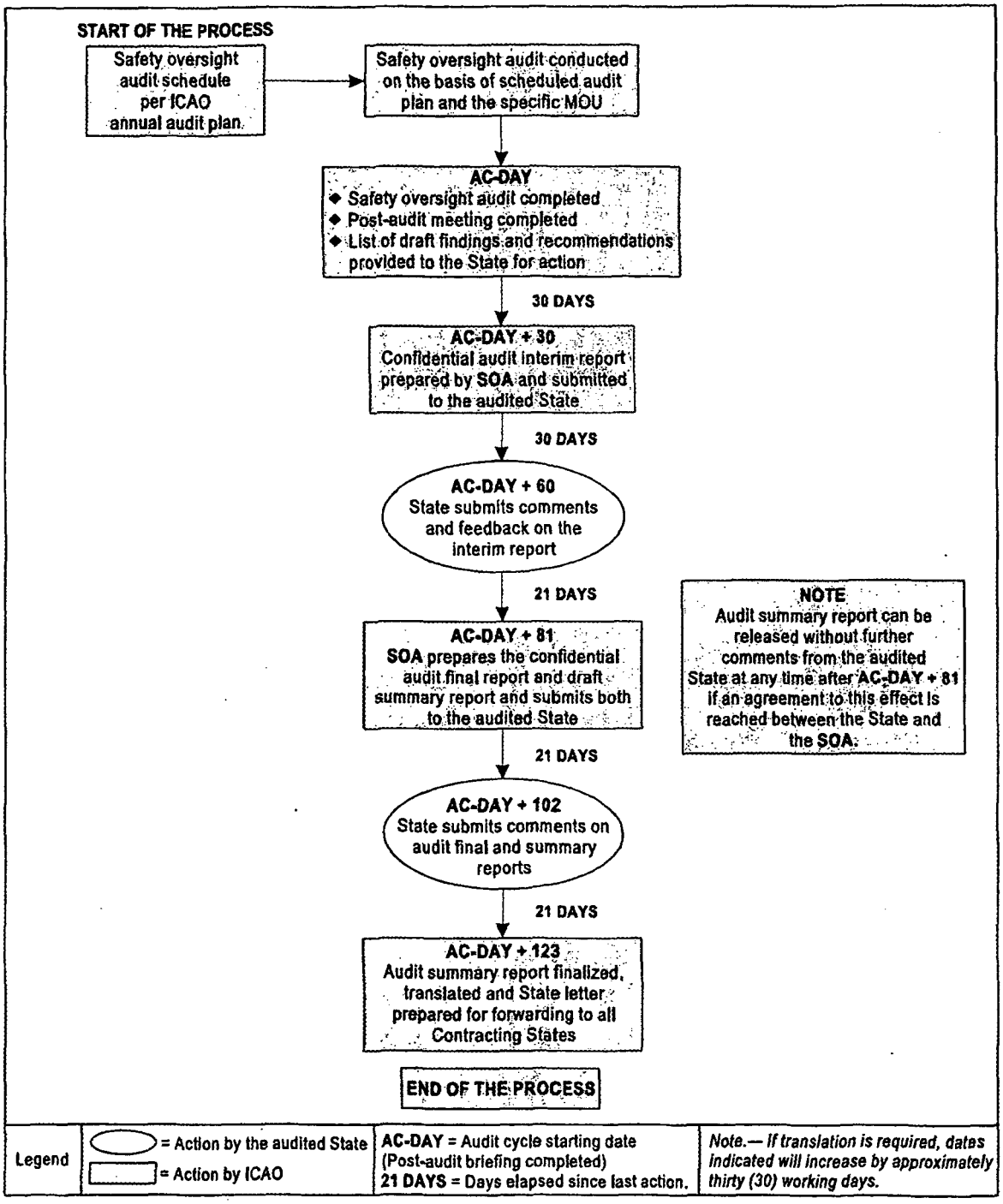

Figure 5-1(b). Audit cycle for safety oversight audit not requiring action by an audited State

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5.5 ASSIGNMENT OF AN AUDIT TEAM

An audit team leader and qualified team members will be assigned by C/SOA prior to the commencement of an audit.

5.5.1 C/SOA assigns the team members and appoints the audit team leader. Auditors will be selected from among the appropriately qualified and approved safety oversight auditors already registered with SOA. At least one member of the audit team will have command of the ICAO language chosen by the Contracting State.

5.5.2 Audit team members will normally be assigned at least four months prior to the commencement of the audit. Although the team may work together for a mission consisting of more than one audit, each audit must have a specific team named.

5.5.3 As far as practicable, the safety oversight audit team will comprise auditors of different nationalities.

5.5.4 States to be audited will be advised of the names of the audit team members prior to the commencement of the audit.

5.6 REVIEW OF DOCUMENTS AND RECORDS

Prior to the commencement of an audit, the audit team leader and, if possible, assigned team members, will review the information on the status of implementation of SARPs and the list of differences provided by the State to be audited, on the basis of the pre-audit questionnaire. Previous audit or assessment results and differences filed by the State and recorded in Annex Supplements will also be reviewed at this time.

5.6.1 The State shall complete and return, at least two months prior to the commencement of the audit, the safety oversight pre-audit questionnaire (attached to the formal audit confirmation letter), along with a status of implementation of SARPs and a list of differences identified in the process of completing the pre-audit questionnaire. The State is also required to forward documentation such as its primary aviation legislation, personnel licensing regulations, aircraft operating and airworthiness regulations and the State's summary of civil aviation activities in preparation for the conduct of the audit.

5.6.2 If available, the State's aviation legislation should be provided in one of the ICAO languages and preferably in English, to facilitate better understanding by the audit team.

5.6.3 The audit team leader will obtain information regarding differences filed by the State and recorded in Annex Supplements. This information together with the list of differences identified during the review of the safety oversight pre-audit questionnaire is to be confirmed or updated during the course of the audit.

5.7 STATE-SPECIFIC SAFETY OVERSIGHT AUDIT PLAN

A State-specific safety oversight audit plan will be developed and provided to the audited State prior to the commencement of the audit.

5.7.1 The purpose of the State-specific safety oversight audit plan is to outline the sequential process of the audit and provide the State with the necessary information. Last-minute modifications to the State-specific safety oversight audit plan are not overruled; should they be necessary, the audit team leader will inform the State authorities during the pre-audit meeting.

5.7.2 The audit team leader for the specific audit will develop a State-specific safety oversight audit plan in coordination with the Technical or Training and Administrative Coordinator of the SOA, as appropriate. The specific safety oversight audit plan will include the following information:

a) dates of the safety oversight audit;

b) objectives of the audit;

c) scheduled dates for pre- and post-audit meetings;

d) identification of the State CAA's key personnel, including a contact person designated by the State;

e) scope of the audit to be conducted and audit areas to be considered;

f) identification of documents necessary to conduct the audit;

g) tentative work programme of audit activities, including visits to CAA regional offices (if any), air transport operators, manufacturing companies, maintenance organizations, training schools and institutes, etc.;

h) travel and administration plans (entry visas, security clearances, health requirements, etc.), as well as the travel schedules of audit members;

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i) the language to be used for the audit, the audit preparation briefing material for team members and the audit mission package;

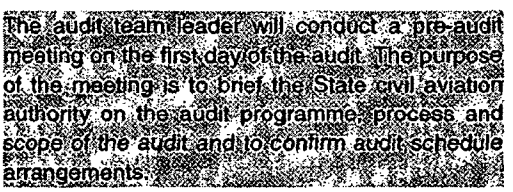
j) identification of priority issues brought to the attention of SOA from reviewing material provided and other documents available to ICAO or information received on the status of aviation activities in the State;

k) team members' assignments and responsibilities; and

l) contents and scope of the audit team leader's mission report.

5.7.3 The tentative work programme will be provided to and discussed with the assigned audit team members during the audit preparation briefing prior to the commencement of the audit.

5.8 PRE-AUDIT MEETING



5.8.1 The pre-audit meeting will be scheduled in advance and included in the tentative work programme.

5.8.2 The pre-audit meeting may be jointly chaired by the ICAO audit team leader and the senior executive of the audited State, who may also wish to provide briefing and information to the ICAO team. The agenda should include at least the following items:

a) introduction of members of the audit team and CAA officials;

b) background history of the ICAO universal safety oversight audit programme;

c) review of the tentative work programme, including the objectives and scope;

d) a short summary of the methods and procedures to be used to conduct the audit;

e) official communication links between the audit team members and the State officials;

f) facilities and administrative arrangements;

g) visits to CAA regional offices, air transport operators, manufacturing companies, maintenance organizations, training schools and institutes, etc.;

h) time, date and place for the post-audit meeting and any interim meetings of the audit team and the State's senior management;

i) clarification of any unclear details of the safety oversight audit plan; and

j) procedures for documenting audit findings.

5.8.3 The audited State should be prepared to assist the safety oversight audit team by providing:

a) working space, preferably with privacy;

b) access to a photocopier and facsimile machine;

c) access to facilities (i.e. building passes);

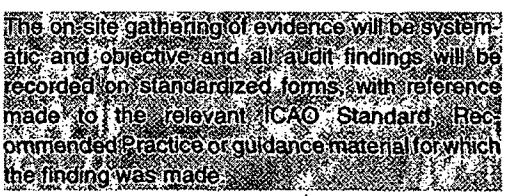
d) access to electronic communication media such as the Internet and e-mail, if available;

e) access to CAA files and records or those of any other relevant entity responsible for safety regulations;

f) access to selected personnel for interviews; and

g) access to knowledgeable aviation advisers and liaison officers.

5.9 ON-SITE AUDIT



5.9.1 Evidence will be collected through interviews, reviewing documents, and observing activities and conditions in the State's aviation system. Non-compliances, non-conformances and non-adherences will be recorded with a clear indication of how and why the audit finding was made. Absence of evidence will normally be reflected as a non-conformance or non-adherence.

5.9.2 After audit activities are completed, the audit team will review all audit findings to confirm or reconfirm which of the findings are non-compliances, non-conformances or non-adherences. The audit team will then ensure

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that the findings are documented in a clear, concise manner and are supported by evidence. Note should also be made when the audited State is in conformance with SARPs.

5.9.3 To assist the State in finding early solutions to shortcomings identified, ICAO safety oversight auditors may provide information on findings to their State counterparts on a daily basis.

5.9.4 Visits to selected air transport operators, manufacturing companies, maintenance organizations, training schools and institutes, etc., will be undertaken to verify the State's capability to control and supervise aviation activities. By checking records, not only in the CAA but also in the industry and by looking into how the industry conducts its business in aspects related to the audit, the audit team is able to see whether the CAA is capable of undertaking its oversight responsibilities effectively. However, at no time is it expected to audit the industry nor to take or propose action which could interfere with the conduct of business in the industry. The mandate to audit the capabilities of the civil aviation system only allows that visits to the industry be conducted in the company of the CAA and on the basis of a specific State audit plan agreed upon both by the CAA and SOA. These visits do not constitute an audit of the aviation industry, but are used to assist in determining the State's safety oversight capability.

5.9.5 Audits may result in raising the awareness and interest of several aviation bodies, some of which may request interviews with the audit team. Interviews with organizations other than the CAA, such as the media, unions or other interested bodies, shall only be conducted with the consent and in the presence of a member of the CAA. Information provided by the ICAO team will be limited to explaining the USOAP, its mandate and its objectives.

5.10 AUDIT PROTOCOL

ICAO safety oversight audits will be conducted following the audit protocol established in Chapters 7 to 11 of this manual. Using an established protocol ensures transparency and reliability in the conduct of audits.

5.10.1 The audit protocol is a comprehensive guide, covering all elements of the State's safety oversight programme subject to audit. In some States, the audit protocol may be modified as a result of the size and complexity of its aviation activities. If such modification is judged necessary, the State will be notified and the modifications will be indicated in the State-specific audit plan.

5.10.2 The audit protocol is divided into modules specific to each subject covered. As the ICAO safety oversight programme expands to include other Annexes, additional modules will be added.

5.10.3 Using the verification process described in the audit protocol, the auditors will assess the State's compliance with, conformance with or adherence to the provisions of ICAO SARPs, procedures, guidance material and good aviation practices. In exceptional circumstances, an observation may be made that may have not been addressed by the audit protocol; in these circumstances the concerned auditor will inform the audit team leader and advise the State of the reasons for it. Observations derived under such conditions shall be recorded on the audit finding and recommendation form developed for this purpose.

5.11 AUDIT FINDINGS — NON-COMPLIANCE, NON-CONFORMANCE AND NON-ADHERENCE

An audit finding that identifies lack of compliance with a regulation promulgated by the Contracting State or with a provision of the Chicago Convention will be recorded as a non-compliance.
An audit finding that identifies lack of conformance with or implementation of an ICAO Standard will be recorded as a non-conformance.
An audit finding that identifies lack of adherence to an ICAO Recommended Practice, procedure, safety-related guidance material or recognized aviation safety practice will be recorded as a non-adherence.

5.11.1 The audit protocol contained in Chapters 7 through 11 of this manual identifies the ICAO SARPs, the related guidance material and the good aviation safety practices that are subject to an ICAO safety oversight audit. The protocol provides the document reference and indicates if it is an Article of the Chicago Convention (CC), an ICAO Standard (STD), a Recommended Practice (RP) or guidance material (GM).

5.11.2 A finding that identifies a lack of compliance with a regulation promulgated by the State or with a provision of the Chicago Convention is recorded as a non-compliance; a finding that identifies a lack of conformance with or implementation of a Standard will be recorded as a non-conformance; and a finding related to a Recommended Practice, procedure or guidance material will be recorded as a non-adherence. The finding and recommendation form will describe the relevant standard auditing procedure and reasons for the finding. If applicable, the form will include recommendations for corrective action. (Examples of ICAO

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audit finding and recommendation forms can be found in Appendix C of this manual.)

5.12 POST-AUDIT MEETING

At the end of the audit, the audit team leader will convene a post-audit meeting with the State civil aviation authority's chief executive and staff, as appropriate, to brief them on the audit findings and any resulting recommendations.

5.12.1 The post-audit meeting provides high-level civil aviation authorities with information relating to the findings and recommendations of the audit team. The meeting should ensure that the State authorities clearly understand the situation as audited by the ICAO team and are able to start work on a corrective action plan, if necessary. The meeting should emphasize the most significant safety issues and concisely present the team's findings and opinions regarding the effectiveness of the State's safety oversight activities.

5.12.2 The audit team leader shall inform the State authorities of the follow-up activities, including any requirement for a corrective action plan. The audit team leader will also inform them of the critical dates for the interim, final and summary reports and for the submission of a State's corrective action plan.

5.12.3 The post-audit meeting must include a briefing on all findings and recommendations that will be included in the audit interim report. A draft copy of the findings and recommendations proposed must be provided to the State at the end of the audit, during the post-audit meeting.

5.12.4 The format for the post-audit meeting will be as follows:

a) review of the objective and scope of the audit;

b) summary of the audit procedures;

c) presentation of draft findings and recommendations;

d) information on the visits to the industry; and

e) actions by ICAO and the audited State following the audit.

5.12.5 Specialist meetings of the audit team members and the State's technical counterparts may be held prior to or after the post-audit meeting, at the discretion of the audit team leader and the State's civil aviation authorities.

5.13 CORRECTIVE ACTION PLAN

At the completion of an audit, the State has the responsibility to develop a corrective action plan defining action the State plans to take to resolve unfavourable findings within the period determined and agreed upon for this purpose.

5.13.1 Corrective actions and deadlines, as necessary, should be established for each of the audit findings. Together, the corrective actions form the State's corrective action plan.

5.13.2 The State's corrective action plan must be submitted within 30 calendar days after receiving the audit interim report, which was submitted to the State within 30 calendar days following the post-audit meeting.

5.13.3 If deemed necessary, SOA or the Regional Officer, Safety Oversight will establish contact with the audited State within approximately 30 days after ICAO has accepted a State corrective action plan, in order to assess progress made in implementing the accepted corrective action plan. The contact may be effected through a visit to the State or through written or oral communication.

5.13.4 The audit final report will include information on the corrective action plan proposed by the State and accepted by ICAO. If the State is not required to submit a corrective action plan or has not submitted one within the agreed-upon period, the audit final report will be prepared and submitted without any corrective action plan. In the latter case, the final report will indicate that the State has failed to provide a State corrective action plan within the prescribed period.

5.14 AUDIT REPORTS

The products of each safety oversight audit are the briefs and reports prepared and submitted as appropriate. Each safety oversight audit will conclude with the preparation and submission of a confidential audit final report and a non-confidential audit summary report. Detailed information on audit briefs and reports is contained in Chapter 6, 6.1.3.

5.14.1 All briefs and reports will be prepared on the basis of guidance included in Chapter 6 of this manual.

5.14.2 If the audit is made in an ICAO language other than that preferred by the audited State, all reports (except for the post-audit meeting brief) will be delayed by

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approximately 30 working days to allow time for translation into the State's preferred ICAO language.

5.14.3 With the exception of the audit summary report, all materials, notes and reports obtained or made during the safety oversight audit will be considered confidential by ICAO. The audited State has the right to publish its audit final report or its corrective action plan and also to request ICAO to do so on its behalf.

5.15 FOLLOW-UP ACTION

If findings of non-conformance with ICAO Standards are revealed during the audit, an audited State will be encouraged to resolve such identified differences. If the State fails to do so and differences still remain during the preparation of the audit final and summary report, the differences will be included in the audit summary report.

Follow-up action will be effected through monitoring the status of implementation of accepted State corrective action plans and completion of audit follow-ups.

The SOA will maintain a status of implementation record of accepted corrective actions. States are required to provide update information as corrective actions are completed, so that the status report can be kept current and an audit follow-up mission planned.

5.16 AUDIT FOLLOW-UP

An audit follow-up will be conducted between one and two years following an audit in order to determine the status of implementation of the corrective action plan.

5.16.1 The primary purpose of an audit follow-up is to determine the status of implementation of the corrective action plan or, in the absence of a corrective action plan, the status of correction of findings noted during the safety oversight audit.

5.16.2 If, incidental to the audit follow-up visit, the audit team has significant concern about the State's conformance with or adherence to SARPs, procedures, guidance material or good aviation safety practices, these concerns will be noted as new findings. New findings will not be included in an audit summary report distributed to Contracting States until the audited State has had an opportunity to develop a new corrective action plan.

5.16.3 The standard auditing procedures applied to the audit follow-up will be the same as for a regular safety oversight audit. The exception is the difference in scope, as audit follow-ups can be limited in certain cases only to issues identified during the initial audit.

5.16.4 The audit follow-up team will normally consist of an audit team leader and other members as required, depending on the scope of the audit. Audit team members for an audit follow-up may or may not have been members of the original audit team, at the discretion of C/SOA.

5.16.5 Audit follow-ups are covered by Article 18 in the MOU (see Appendix B), signed by the Secretary General and the State's civil aviation authority.

5.17 ORDER OF AUDITS

Safety oversight audits will be carried out in accordance with the order-of-audit criteria approved by the ICAO Council during its 155th Session.

5.17.1 The ICAO annual audit and follow-up audit plan will be established in accordance with criteria approved by the ICAO Council. Adjustments to the order will be considered by the SOA in order to improve efficiency by taking into consideration issues such as proximity of States to be audited, languages to be used, etc., which could significantly reduce the cost of conducting an audit.

5.17.2 The following priority criteria have been approved by the ICAO Council:

a) expressed urgency to audit a particular State;

b) regional balance, including the percentage of States assessed in each ICAO region;

c) completion of any outstanding audits from the voluntary programme; and

d) State requests to be audited.

5.18 AUDIT TEAM LEADER'S MISSION REPORT

ICAO audit team leaders will prepare a separate report describing the conduct of the audit, difficulties encountered and proposals to improve the planning and conduct of audits.

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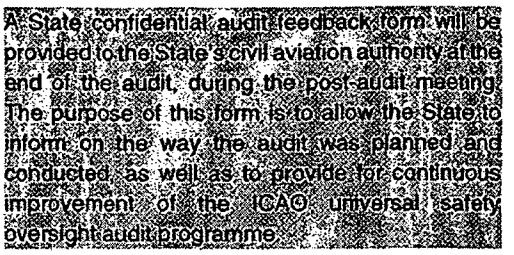
5.18.1 The audit team leader's mission report provides feedback on the conduct of the audit, from planning to completion. The mission report is an integral part of the quality assurance programme and will be used by the SOA to improve audit planning.

5.18.2 The SOA will maintain a record of all feedback and recommendations made in the audit team leader's mission report and of action taken by SOA to address concerns raised.

5.18.3 Should the audit team leader's mission report identify issues which may be addressed through the amendment of SARPs, the information will be relayed to the Director of ICAO's Air Navigation Bureau.

5.19 STATE AUDIT FEEDBACK FORM



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Chapter 6

AUDIT REPORTS

6.1 GENERAL

The audit report is an objective reflection of the results of the safety oversight audit. It is prepared on the basis of the reporting policies and principles contained in this manual.

6.1.1 The various audit reports are prepared to:

a) provide information to the audited State regarding the status of implementation of ICAO SARPs, procedures, safety-related guidance material and good aviation safety practices;

b) demonstrate the need to initiate corrective actions;

c) provide ICAO with information on differences to ICAO Standards; and

d) provide other Contracting States with an abstract summary of the status of safety oversight activities in the audited State.

6.1.2 Key principles in the development of the audit reports are:

a) consistency of findings and recommendations in the post-audit meeting brief, audit interim report and audit final report;

b) conclusions substantiated with references;

c) findings and recommendations stated clearly and concisely;

d) avoidance of generalities and vague observations;

e) objective presentation of audit findings;

f) use of widely accepted aviation terminology, avoiding acronyms and jargon; and

g) avoidance of criticism of individuals or positions.

6.1.3 The following audit briefs and reports are prepared and submitted, as required and applicable, in conformity with the predetermined time frame:

a) the post-audit meeting brief, explaining draft findings and recommendations of the audit, addressed to State authorities and submitted on the final day of the audit;

b) the audit interim report, containing the official report on findings and recommendations of the audit, addressed to State authorities and submitted within 30 calendar days after the final day of the audit;

c) the preliminary review brief, if required, prepared by the Regional Officer, Safety Oversight within 30 calendar days following the acceptance of the State corrective action plan and forwarded to C/SOA to be considered in the preparation of the audit final report;

d) the audit final and summary reports, the former containing the official report on the findings, recommendations, proposed State corrective action plan and action plan initiated, and the latter containing an abstract thereof, addressed to State authorities approximately 150 calendar days after the completion of the audit;

Note.— The audit summary report is first forwarded to the audited State for comments, which will be taken into account prior to forwarding the audit summary report to all Contracting States.

e) a non-confidential audit summary report, containing an abstract of the findings and recommendations and the State's proposed corrective action plan and action initiated thereon, forwarded to all Contracting States approximately 180 calendar days after the completion of the audit.

6.1.4 Audit briefs and reports will be prepared following a standard reporting format developed by the SOA. This format permits input to an electronic database, facilitating the retrieval of information for follow-up action.

6.2 AUDIT INTERIM REPORT

The audit interim report is a confidential formal report of the audit containing full details of the audit findings and recommendations.

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6.2.1 The audit interim report is the official and formal report of findings and recommendations submitted to the State after the completion of the audit. The State corrective action plan will be based on the audit interim report, although the State was provided the opportunity to initiate its corrective action plan on the basis of the draft findings and recommendations. The audit interim report forms the basis for the preparation of the audit final report and is superseded by the audit final report when completed.

6.2.2 The audit interim report is prepared by the SOA at ICAO Headquarters on the basis of the draft interim report and the draft findings and recommendations submitted by the audit team leader. The audit interim report will be available only to the audited State and to the Regional Director of the accredited ICAO Regional Office. The SOA will retain a file copy.

6.2.3 The contents of the audit interim report are:

1. *Introduction*
   - 1.1 List of ICAO documents related to the safety oversight audit
   - 1.2 List of State documents
   - 1.3 Background
   - 1.4 Safety oversight audit team composition
   - 1.5 State officials and aviation industry personnel contacted
   - 1.6 Acknowledgement
2. *Objectives and activities of the mission*
3. *Aviation activities in the State*
4. *Summary of findings*
5. *Audit results*
   - 5.1 Primary aviation legislation
   - 5.2 Civil aviation regulations
   - 5.3 Civil aviation organization system
   - 5.4 Personnel licensing and training
   - 5.5 Aircraft operations certification and supervision
   - 5.6 Airworthiness of aircraft
   - 5.7 Visits to the aviation industry
6. *Follow-up action*
7. *Appendices*
8. *Attachments*

6.3 PRELIMINARY REVIEW BRIEF

A preliminary review brief may be submitted to C/SOA by the Regional Officer, Safety Oversight detailing progress made in implementing the State corrective action plan accepted by ICAO.

6.3.1 A preliminary review brief may be submitted detailing the findings of a review made by the Regional Officer, Safety Oversight within 30 days after the State corrective action plan has been accepted.

6.3.2 There are no standardized briefing formats, as the preliminary review brief may differ from State to State. The brief should, however, include information which will enable C/SOA to assess progress made in the implementation of the State's corrective action plan in order to be able to include this information in the audit final report. The preliminary review brief should include progress reported or observed and information on the completion date of corrective action in progress, if available.

6.4 AUDIT FINAL REPORT

The audit final report is an official and confidential report. It contains the detailed information found in the audit interim report, as well as the State's corrective action plan and an analysis of progress made on the implementation of that plan.

6.4.1 The audit final report represents the official and actual report of the audit. The structure and contents of the audit final report will be similar to the audit interim report, with the exception that the audit final report will include an analysis of the corrective action plan submitted by the audited State, information on the progress made by the audited State on the implementation of the corrective action plan, and information on any remedied deficiencies and outstanding differences to ICAO SARPs.

6.4.2 The audit final report will be made available only to the audited State and to the Regional Director of the accredited ICAO Regional Office. The SOA will retain a file copy.

6.4.3 The SOA staff, in coordination with the Technical Coordinator and the Standards and Procedures Officers, are responsible for preparing the audit final report.

6.5 AUDIT SUMMARY REPORT

A non-confidential audit summary report will be prepared and forwarded to all ICAO Contracting States following the predetermined schedule of report submissions indicated in the audit cycle (see Figures 5-1(a) and 5-1(b)).

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6.5.1 An audit summary report providing an overview of an audited State's conformance with, or adherence to, ICAO SARPs, procedures, safety-related guidance material and good safety practices will be prepared with the audit final report and forwarded to the audited State for comments prior to its distribution to States.

6.5.2 The primary objective of distributing the audit summary report is to enhance aviation safety. The audit summary report will be prepared in such a way as to enable ICAO Contracting States to form their own opinion of the status of safety oversight activities in the audited State.

6.5.3 The SOA staff, in coordination with the Technical Coordinator and the Standards and Procedures Officers, are responsible for preparing the audit summary report. It will contain at least the following items:

a) background;

b) aviation activities in the State;

c) summary of findings;

d) comments;

e) ICAO SARPs not implemented; and

f) attachments.

6.6 STATE CORRECTIVE ACTION PLAN

Following the post-audit meeting, the audited State is required to develop a State corrective action plan addressing each finding resulting in the provision of a recommendation.

6.6.1 The State's corrective action plan responds to the audit findings and recommendations by proposing action to bring the State's regulatory framework into conformance with, or adherence to, ICAO SARPs, procedures, safety-related guidance material and good safety practices.

6.6.2 The audited State is expected to initiate work on a corrective action plan at the completion of the audit. The allotted time for completion of the corrective action plan is 30 calendar days from receipt of the audit interim report, or approximately 60 calendar days from the day the post-audit meeting was conducted and a copy of the draft findings and recommendations provided to the State.

6.6.3 The State's corrective action plan should contain information relevant to the audit conducted and respond to each recommendation resulting from an audit finding. The State corrective action plan should provide detailed information of action to be taken, including a time frame for the commencement and completion of each action, and must be signed by the authorized CAA chief executive or Government official, as appropriate.

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Chapter 6A

AUDIT FOLLOW-UP PROCEDURES

6A.1 AUDIT FOLLOW-UP AND ACTION PLAN VALIDATION

An audit follow-up mission to validate the satisfactory implementation of the State's corrective action plan will be conducted between one and two years following an audit. The audit follow-up mission will also allow ICAO to update and validate the safety data collected during safety oversight audits and to enter current information into the Audit Findings and Differences Database (AFDD) referred to in 6.1.4 of this manual.

6A.1.1 The primary purpose of an audit follow-up is to validate the effective implementation of the corrective action plan submitted by the audited State following the initial audit or, in the absence of a corrective action plan, the status of correction of findings noted during the safety oversight audit. As applicable, quality assurance notes from the analysis and validation of the contents of the audit final report will be brought to the attention of the audited State and explained by the audit follow-up team on site. Audit follow-up reporting forms and checklists should be completed for each audit finding (see Appendices E and F).

6A.1.2 If, incidental to the follow-up mission, the audit follow-up team has significant concerns about safety issues in relation to the State's conformance with or adherence to SARPs, procedures, guidance material, or good aviation safety practices, it will record those concerns as "observations" requiring corrective action by the audited State. Such observations, together with recommendations for corrective action, will be recorded on the form prepared for that purpose (see Appendix G). The observations will be included in a separate section of the audit follow-up report, and the audited State will be encouraged to submit a corrective action plan. Observations will not be included in the non-confidential follow-up summary report.

6A.1.3 The audit follow-up procedures to be followed are similar to the standard auditing procedures applied during a regular safety oversight audit. However, audit follow-up missions are generally limited to ascertaining whether safety issues identified during the initial audit have been satisfactorily resolved.

6A.1.4 The audit follow-up team will normally consist of a team leader and other members as required, depending on the complexity of the audit findings and validation exercise to be conducted. The audit follow-up team members assigned to a follow-up mission may or may not have been members of the original audit team.

6A.1.5 Audit follow-ups are covered by Article 18 in the MOU (see Appendix B), signed by the Secretary General and the State's civil aviation authority.

6A.1.6 States will be notified of a forthcoming follow-up mission by means of a letter from the Director of the Air Navigation Bureau. This formal notification will follow the State letter forwarded to all Contracting States twice a year, providing information on a tentative plan for a follow-up mission on the basis of the period of the initial audit and the State's corrective action plan.

6A.1.7 The timeline for activities following a safety oversight audit follow-up is illustrated in Figure 6A-1.

6A.1.8 A confidential follow-up report will be submitted to the audited State within 30 calendar days following the completion of the follow-up mission.

6A.1.9 Thirty calendar days after receiving the confidential follow-up report, a State should submit its feedback and comments, if any. ICAO will publish and distribute a non-confidential follow-up summary report within 60 calendar days following the submission of the follow-up report to the State (30 calendar days after receiving a State's comments and feedback, if any).

6A.1.10 The information contained in the non-confidential follow-up summary report should only be used for enhancing aviation safety.

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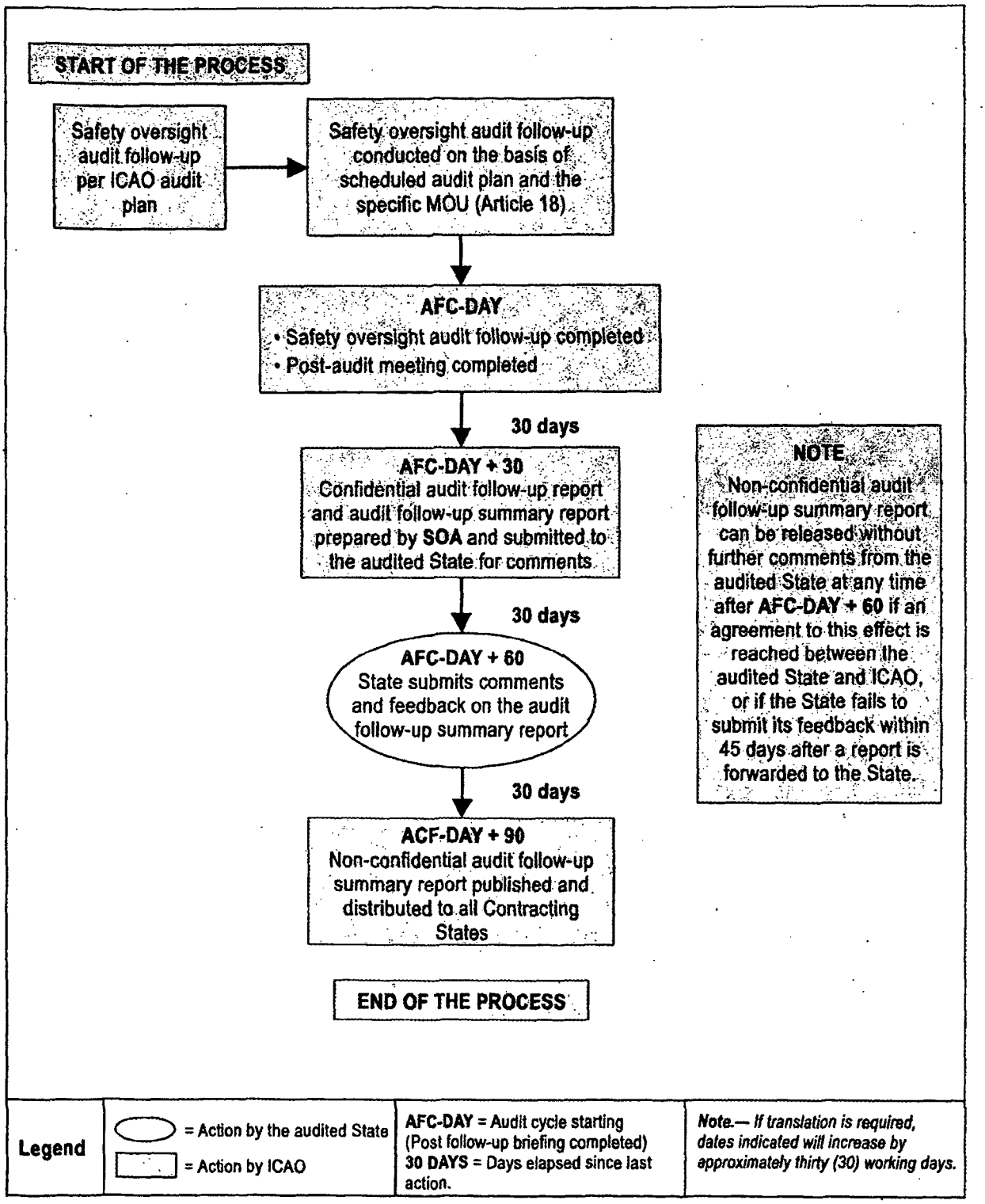

Figure 6A-1. Audit cycle for safety oversight audit follow-up

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Chapter 7

AUDIT PROTOCOL —

Primary Aviation Legislation and Civil Aviation Regulations

7.1 GENERAL

7.1.1 This chapter contains the standard auditing procedures for the conduct of audits of the State's legislative and regulatory framework. It provides both the auditors and the State with a step-by-step guide to verification of the status of implementation.

7.1.2 The audit protocol indicates whether the provision in the reference document complies with, conforms with, or adheres to, requirements of the Chicago Convention (CC), an Annex Standard (STD), an Annex Recommended Practices (RP), or an ICAO document guidance material.

7.2 CONTENT OF THE AUDIT PROTOCOL

7.2.1 The audit protocol in this chapter contains four parts:

1. Promulgation and amendment procedures (LEG 1.000);
2. Enforcement procedures (LEG 1.030);
3. Empowerment of inspectors (LEG 1.050); and
4. Ratification and implementation of Article 83 *bis* (LEG 1.060).

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
LEG 1.000 — Promulgation and amendment procedures				
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.1 & 3.2	LEG 1.001 Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.) to enable the State to implement the provisions of the Convention on International Civil Aviation and its Annexes?	☐ Yes ☐ No		
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.1 & 3.2	LEG 1.002 If yes, what is its formal title and when was it promulgated?			
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.1 & 3.2	LEG 1.003 At what level was the primary aviation legislation promulgated? 1. Head of State ☐ 2. Prime Minister ☐ 3. Parliament ☐ 4. Council of Ministers ☐ 5. Minister ☐ 6. Other (specify) ☐			
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.1 & 3.2	LEG 1.004 Has the State established procedures for the amendment of its primary aviation legislation?	☐ Yes ☐ No		
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.1 & 3.2	LEG 1.005 What are the procedures for amendment?			
ICAO references: CC = Chicago Convention; STD = Standard; RP = Recommended Practice; GM = Guidance material.; SL = State letter				

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.1 & 3.2	LEG 1.006 When was the legislation last amended/ re-issued?			
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2	LEG 1.007 What is the average time frame for amendment of the primary aviation legislation?			
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2	LEG 1.008 Does the primary aviation legislation provide for the introduction/adoption of air navigation regulations and the promulgation thereof?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.3	LEG 1.009 Has the State developed and promulgated specific regulations to enable the implementation of the provisions of: 1. Annex 1? ☐ Yes ☐ No 2. Annex 6? ☐ Yes ☐ No 3. Annex 8? ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.3	LEG 1.010 At what level are the specific regulations promulgated? 1. Prime Minister ☐ 2. Parliament ☐ 3. Council of Ministers ☐ 4. Minister ☐ 5. Director General ☐ 6. Other (specify) ☐		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.3	LEG 1.011 Has the State established procedures for the amendment of its specific regulations?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
GM Doc 8335 2.4 Doc 9734 C2, 3.2 & 3.3	LEG 1.012 Are the primary aviation legislation, the air navigation regulations, and the associated operating regulations and rules available to all users?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
GM Doc 8335 2.4 Doc 9734 C2, 3.2 & 3.3	LEG 1.013 If yes, describe the means available to users to access the specific regulations.		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2	LEG 1.014 Does the primary aviation legislation make provisions for the establishment of a civil aviation organization and for the appointment of a Chief Executive Officer (CEO)?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2	LEG 1.015 If no, what is the basis for the establishment of a civil aviation organization?		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2 & 3.3	LEG 1.016 Does the primary aviation legislation make provision for the delegation of the necessary authority and the assignment of corresponding responsibility to the CEO to develop, issue and revise operating regulations and rules consistent with the air navigation regulations and with the provisions of the Annexes to the Convention on International Civil Aviation?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2 & 3.3	LEG 1.017 If no, who is delegated or authorized to perform those actions?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2	LEG 1.018 Does the primary aviation legislation require commercial air transport operations to be conducted in accordance with any conditions the State may consider applicable in the interests of safety?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 12 GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2	LEG 1.019 Does the primary aviation legislation provide for the enforcement of the air navigation regulations and associated operating regulations and rules by specifying the penalty to be applied in the event of their infringement or violation?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Part I GM Doc 8335 1.1.3 Doc 9734 C2, 3.2	LEG 1.020 If the State has not promulgated primary aviation legislation, what method is used to meet its obligations as a party to the Convention on International Civil Aviation?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 2.1.2 Doc 9734 C2, 3.2 & 3.3	LEG 1.021 Do the primary aviation legislation and/or specific regulations provide for the promulgation of: 1. specific orders ☐ Yes ☐ No 2. directives ☐ Yes ☐ No 3. instructions ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.2 Doc 9734 C2, 3.2 & 3.3	LEG 1.022 If yes, who is authorized to issue such provisions?			
GM Doc 8335 2.2 Doc 9734 C2, 3.2 & 3.3	LEG 1.023 What is the legal status of such orders, directives and/or instructions?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.2 Doc 9734 C2, 3.2 & 3.3	LEG 1.024 What specific issues do such orders, directives and/or instructions address?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 37 and 38	LEG 1.025 Is there a procedure for implementing amendments to SARPs of Annexes 1, 6 and 8 and for listing and notifying the differences, if any, to ICAO?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 37 and 38	LEG 1.026 If the State has adopted another State's regulations (personnel licensing, aircraft operations or airworthiness), what method is used to outline the differences between ICAO SARPs and the adopted regulations and to notify ICAO of the differences that have been reproduced in the national regulations?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
LEG 1.030 — Enforcement procedures				
CC Art. 12 GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.031 Who is responsible for the enforcement of the primary aviation legislation and regulations?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 12 GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.032 How is enforcement implemented?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
LEG 1.050 — Empowerment of inspectors				
CC Art. 16 GM Doc 8335 9.6 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.051 Are provisions included in the primary aviation legislation or in the regulations for access and inspection of aviation installations such as: 1. aerodromes ☐ Yes ☐ No 2. hangars ☐ Yes ☐ No 3. workshops ☐ Yes ☐ No 4. ramp ☐ Yes ☐ No 5. fuel storage ☐ Yes ☐ No 6. operator offices ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 16 GM Doc 8335 9.6 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.052 Is the access and inspection of aviation installations: 1. unrestricted ☐ Yes ☐ No 2. limited ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
CC Art. 16 GM Doc 8335 9.6 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.053 Are provisions included in the primary aviation legislation or in the regulations for access and inspection of aviation documents such as: 1. manuals ☐ Yes ☐ No 2. certificates ☐ Yes ☐ No 3. programmes ☐ Yes ☐ No 4. procedures ☐ Yes ☐ No 5. technical files ☐ Yes ☐ No 6. personnel files ☐ Yes ☐ No 7. personnel licences ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 16 GM Doc 8335 9.6 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.054 Is the access and inspection of aviation documents: 1. unrestricted ☐ Yes ☐ No 2. limited ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 16 GM Doc 8335 9.6 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.055 Who has the authority to access and inspect installations and documentation? 1. CAA director ☐ Yes ☐ No 2. Chief inspectorate ☐ Yes ☐ No 3. AIR inspectors ☐ Yes ☐ No 4. OPS inspectors ☐ Yes ☐ No 5. PEL inspectors ☐ Yes ☐ No 6. all of the above ☐ Yes ☐ No 7. others (specify) ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.6 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.056 Does an inspector have the right to detain aircraft for just cause?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	Status	*Implementation as applicable*	Comments
GM Doc 8335 9.6 Doc 9734 C2, 3.2, 3.8 & 3.9	LEG 1.057 Does an inspector have the right to prohibit any person from exercising the privileges of any aviation licence, certificate or document for just cause?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
LEG 1.060 – Ratification and implementation of Article 83 *bis*				
CC Art. 83 *bis* SL*	LEG 1.061 Has the State ratified Article 83 *bis*?	❑ Yes ❑ No		
CC Art. 83 *bis* SL*	LEG 1.062 If yes, has the State reviewed and modified the primary aviation legislation and operating regulations in order to: 1. Recognize certificates of airworthiness and/or *personnel licences issued/renewed* by the State of the operator? ❑ Yes ❑ No 2. Transfer its State of registry's responsibilities to the State of the operator? ❑ Yes ❑ No			
CC Art. 83 bis SL*	LEG 1.063 Has the State entered into any agreement on the transfer of responsibilities from the State of registry to the State of the operator under the provisions of Article 83 *bis*?	❑ Yes ❑ No		

* ICAO State letter 2/82, LE 4/55-99/54

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Chapter 8

AUDIT PROTOCOL — Organization of the State's Civil Aviation Authority

8.1 GENERAL

8.1.1 This chapter contains the standard auditing procedures for the conduct of audits of the organization of the State's civil aviation authority. It provides both the auditors and the State with a step-by-step guide to verification of the status of implementation.

8.1.2 The audit protocol indicates whether the provision in the reference document complies with, conforms with, or adheres to, requirements of the Chicago Convention (CC), an Annex Standard (STD), an Annex Recommended Practice (RP), or an ICAO document guidance material (GM).

8.2 CONTENT OF THE AUDIT PROTOCOL

8.2.1 The audit protocol in this chapter contains seven parts:

1. Civil aviation organization system — Legal status (ORG 2.000);
2. Establishment (ORG 2.030);
3. Other organizations or departments with civil aviation responsibilities (ORG 2.040);
4. Staffing constitution and recruitment policy (ORG 2.050);
5. Staff general training policy (ORG 2.060);
6. Documentation and technical library (ORG 2.080);
7. Resources (ORG 2.090);

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
ORG 2.000 — Civil aviation organization system — Legal status				
GM Doc 8335 2.3 Doc 9734 3.4	ORG 2.001 What type of organizational structure is in place? 1. Aviation ministry ☐ 2. Ministry department ☐ 3. State's aviation office ☐ 4. Autonomous agency ☐ 5. Civil aviation department ☐ 6. Civil aviation authority ☐ 7. Other (specify) ☐			
Doc 9734 3.4	ORG 2.002 What is the actual name and the acronym of the civil aviation organization established?			
GM Doc 8335 2.3 Doc 9734 3.4	ORG 2.003 What is the legal basis for the civil aviation organization system? 1. the primary aviation legislation ☐ 2. other (specify) ☐			
ORG 2.030 — Establishment				
Doc 9734 3.4	ORG 2.031 Has a master organizational structure (line diagram) for the civil aviation organization system been established?	☐ Yes ☐ No		
Doc 7604 Doc 9734 3.4	ORG 2.032 Is the organizational structure published in ICAO Doc 7604 — *Information on National Civil Aviation Departments?*	☐ Yes ☐ No		
Doc 7604 Doc 9734 3.4	ORG 2.033 Are there differences between the information contained in ICAO Doc 7604 and the current organizational structure established in the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4	ORG 2.034 Has the State established regional offices reporting to Headquarters, with responsibility for safety oversight?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

ICAO references: CC = Chicago Convention; STD = Standard; RP = Recommended Practice; GM = Guidance material.

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
Doc 9734 3.4	ORG 2.035 If yes, how many regional offices reporting to Headquarters have been established?			
Doc 9734 3.4	ORG 2.036 If yes, what is the extent of their responsibility and has the civil aviation administration established a system for coordination and/or control for the implementation of regional authority?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4	ORG 2.037 If yes, are procedures in place for delegation of authority from Headquarters to the regional offices?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
ORG 2.040 — Other organizations or departments with civil aviation responsibilities				
Doc 9734 3.4	ORG 2.041 Are there additional authorities, other than the civil aviation administration, dealing with civil aviation subjects (e.g. airport authority, aviation accident investigation board, etc.)?	☐ Yes ☐ No		
Doc 9734 3.4	ORG 2.042 If yes, what are they and what is the objective of their establishment?			
Doc 9734 3.4	ORG 2.043 Is there a perceived overlap of responsibilities or a conflict of interest among the various authorities dealing with civil aviation?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4	ORG 2.044 If yes, please explain the overlap of responsibilities and, if possible, its impact on safety.		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
ORG 2.050 – Staffing constitution and recruitment policy				
Doc 9734 3.4 & 3.6	ORG 2.051 What is the number and constitution of the technical staff in the civil aviation administration? 1. Headquarters: • personnel licensing • aircraft operations • airworthiness of aircraft • total 2. Regional Offices (if applicable): • personnel licensing • aircraft operations • airworthiness of aircraft • total		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4 & 3.6	ORG 2.052 Does the civil aviation administration have sufficient resources available for recruiting technical staff?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4 & 3.6	ORG 2.053 Have written terms of reference been developed for technical staff?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4 & 3.6	ORG 2.054 What is the number of clerical and technical support staff employed by the civil aviation administration? 1. Headquarters: • clerical staff • technical support staff 2. Regional Offices (if applicable): • clerical staff • technical support staff 3. Total CAA		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9379 1.5 Doc 9734 3.4 & 3.6	ORG 2.055 What kind of administrative support and equipment is available in the civil aviation administration? 1. photocopiers ☐ Yes ☐ No 2. computers ☐ Yes ☐ No 3. laptops/notebooks ☐ Yes ☐ No 4. facsimile ☐ Yes ☐ No 5. printing facilities ☐ Yes ☐ No 6. cellular telephones ☐ Yes ☐ No 7. Internet/intranet ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1 Doc 9734 3.4 & 3.6	ORG 2.056 What are the general rules and policy for recruiting technical staff with appropriate qualifications?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 C9 Doc 9734 3.4 & 3.6	ORG 2.057 What is the role of the civil aviation administration in the selection process and recruitment of technical staff?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 C9 Doc 9734 3.4 & 3.6	ORG 2.058 Is the civil aviation administration able to recruit and retain adequately qualified and experienced technical staff?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 C9 Doc 9734 3.4 & 3.6	ORG 2.059 How does the technical staff's remuneration compare with that of comparable personnel in the industry?			

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
ORG 2.060 — Staff general training policy				
GM Doc 8335 C9 Doc 9734 3.6	ORG 2.061 Has the civil aviation administration established a training policy and programme for its technical staff? 1. *initial* ☐ Yes ☐ No 2. recurrent ☐ Yes ☐ No 3. specialized ☐ Yes ☐ No 4. technical ☐ Yes ☐ No 5. upgrading ☐ Yes ☐ No 6. enforcement ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 C9 Doc 9734 3.6	ORG 2.062 Does the civil aviation administration have a policy on the establishment of guidance and procedures for technical staff?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 C9 Doc 9734 3.6	ORG 2.063 Have guidance and procedures been developed for each technical speciality area (e.g. personnel licensing officers, operations inspectors, airworthiness inspectors, etc.)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 C9 Doc 9734 3.6	ORG 2.064 Are there technical personnel training records available? (They will be checked individually in each area subject to audit.)	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
ORG 2.080 — Documentation and technical library				
Doc 9734 3.4 & 3.5	ORG 2.081 What is the policy for providing technical documents to technical and administrative staff?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4 & 3.5	ORG 2.082 Does the civil aviation administration have a central library?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
Doc 9734 3.4 & 3.5	ORG 2.083 Are the relevant ICAO documents and other technical documents readily available to the technical and administrative staff of the civil aviation administration?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4 & 3.5	ORG 2.084 What are the procedures for subscribing to technical publications?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4 & 3.5	ORG 2.085 Are there sufficient resources available to obtain and maintain aviation industry publications?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.4 & 3.5	ORG 2.086 Are subscriptions to aviation industry publications maintained up to date?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
ORG 2.090 — Resources				
Doc 9734 C3	ORG 2.091 What financial resources are available to the civil aviation administration?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 C3	ORG 2.092 Does the civil aviation administration have full control of the income it generates and of outlying expenditures?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 C3	ORG 2.093 Is the established civil aviation organization system, as a whole, capable of fulfilling the State's responsibility for safety oversight?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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Chapter 9

AUDIT PROTOCOL — Personnel Licensing (Annex 1)

9.1 GENERAL

9.1.1 This chapter contains the standard auditing procedures for the conduct of audits of personnel licensing. It provides both the auditors and the State with a step-by-step guide to verification of the status of implementation.

9.1.2 The audit protocol indicates whether the provision in the reference document complies with, conforms with, or adheres to, requirements of the Chicago Convention (CC), an Annex Standard (STD), an Annex Recommended Practice (RP), or an ICAO document guidance material (GM).

9.2 CONTENT OF THE AUDIT PROTOCOL

9.2.1 The audit protocol in this chapter contains 20 parts:

1. Personnel licensing and training system — Regulatory background (PEL 3.000);
2. Organization and staffing of the personnel licensing and training system (PEL 3.050);
3. Procedures established for personnel licensing and rating — Application for a licence and/or rating (PEL 3.100);
4. Procedures established for personnel licensing and rating — Processing of applications (PEL 3.110);
5. Procedures established for personnel licensing and rating — Licences issued directly by States (PEL 3.150);
6. Procedures established for personnel licensing and rating — Licences and ratings issued on the basis of foreign licences (Conversion of licences) (PEL 3.160);
7. Procedures established for personnel licensing and rating — Validation of foreign licences (PEL 3.170);
8. Procedures established for personnel licensing and rating — Acceptance of military qualifications (PEL 3.180);
9. Procedures established for personnel licensing and rating — Renewal, recency and maintenance of competency (PEL 3.190);
10. Procedures established for personnel licensing and rating — Processing of medical assessments (PEL 3.200);
11. Procedures established for personnel licensing and rating — Medical assessment and medical examiners (PEL 3.210);
12. Control and supervision of licences and ratings issued — Examinations and tests (PEL 3.220);
13. Control and supervision of licences and ratings issued — Written and oral examinations (PEL 3.230);
14. Control and supervision of licences and ratings issued — Examiners (written and oral examinations) (PEL 3.240);
15. Control and supervision of licences and ratings issued — Practical and flight examinations (PEL 3.250);
16. Control and supervision of licences and ratings issued — Examiners (flight examinations) (PEL 3.260);
17. Control and supervision of licences and ratings issued — Records (PEL 3.270);
18. Control and supervision of licences and ratings issued — Physical specifications of licences (PEL 3.280);
19. Control and supervision of training institutes and/or aviation schools (PEL 3.300); and
20. Status of implementation and differences to ICAO SARPs (PEL 3.400).

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
PEL 3.000 — Personnel licensing and training system — Regulatory background				
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 3.3.5	PEL 3.001 Has the State developed and promulgated personnel licensing regulations to enable the State to implement the provisions of Annex 1?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 1.2.1 & 1.2.2 Doc 9734 3.3.5	PEL 3.002 If yes, what is the formal title of the regulations and when were they promulgated? (List all the regulations related to personnel licensing.)			
CC Art. 37 Doc 9734 3.3.5	PEL 3.003 If the State has not promulgated specific personnel licensing regulations, what method is used to comply with the provisions of the Chicago Convention and its Annex 1?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.4 Doc 9734 3.3.5	PEL 3.004 Are amended and up-to-date copies of the personnel licensing regulations used by the State readily available to personnel licensing officers?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.4 Doc 9734 3.3.5	PEL 3.005 Has the personnel licensing office issued an order, directive and/or instruction in support of its personnel licensing activities?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9734 3.3.5	PEL 3.006 Does the personnel licensing office have a technical library?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

ICAO references: CC = Chicago Convention; STD = Standard; RP = Recommended Practice; GM = Guidance material.

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
Doc 9734 3.3.5	PEL 3.007 Are the relevant ICAO documents and other technical documents readily available to the technical and administrative staff of the personnel licensing office?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.4 Doc 9734 3.3.5	PEL 3.008 Does the personnel licensing office have a current copy of Annex 1 — *Personnel Licensing*?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.050 — Organization and staffing of the personnel licensing and training system				
GM Doc 9379 C1	PEL 3.051 Is there an organizational structure for personnel licensing?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1	PEL 3.052 If yes, does the structure clearly indicate the line of responsibility for the licensing of personnel?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1	PEL 3.053 Are the functions and responsibilities of the personnel licensing office clearly identified and defined?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1	PEL 3.054 Are there regional offices with responsibility for personnel licensing? (If yes, what is the scope of their activities and responsibility?)	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1	PEL 3.055 If yes, has the authority established a system for coordination and/or control?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9379 C1	PEL 3.056 What is the number of technical staff in the personnel licensing office and what is the constitution of the technical staff? 1. Headquarters ☐ 2. Regional Offices ☐		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1	PEL 3.057 Has the State established a training programme for its personnel licensing officers?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1	PEL 3.058 If yes, what does the syllabus cover during such training? (Obtain a copy if available.)		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1	PEL 3.059 If no, what other system has been established to ensure the proficiency of personnel licensing officers?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 1.5	PEL 3.060 What is the number of clerical staff in the personnel licensing office? 1. Headquarters ☐ 2. Regional Offices ☐		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 1.5	PEL 3.061 What kind of administrative support and equipment is available?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C1	PEL 3.062 Is the personnel licensing office adequately supplied with the required documents to effectively accomplish its functions and responsibilities?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
PEL 3.100 — Procedures established for personnel licensing and rating — Application for a licence and/or rating				
GM Doc 9379 C7	PEL 3.101 What methods are used to inform applicants of the requirements for the various licences and ratings?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.102 Are application forms available for the various licences and ratings issued by the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3	PEL 3.103 Do the application forms solicit information relating to the age, knowledge, experience, skills and medical information from the applicant?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.110 — Procedures established for personnel licensing and rating — Processing of applications				
GM Doc 9379 C7	PEL 3.111 How are applications for licences and/or ratings processed?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.112 Who is responsible for assessing documents, evaluating experience and checking examination results in order to establish that applicants have fulfilled the requirements for the issuance of licences or ratings?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.113 Who is responsible for the evaluation of medical examination reports?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.114 At what level of authority are licences or ratings granted and signed?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9379 C7	PEL 3.115 Has the State established a procedure for appealing civil aviation administration decisions on licensing?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.116 If yes, what is the procedure?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.150 — Procedures established for personnel licensing and rating — Licenses issued directly by States				
	PEL 3.151 Does the State issue national licences or ratings other than those provided for in Annex 1 to the Convention on International Civil Aviation?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	PEL 3.152 Do the regulations provide for licences and ratings, which are not issued in practice? (List, if applicable.)	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.160 — Procedures established for personnel licensing and rating — Licences and ratings issued on the basis of foreign licences (Conversion of licences)				
GM Doc 9379 C7	PEL 3.161 Has the State established procedures for the issuance of licences and ratings on the basis of foreign licences?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	PEL 3.162 Does the State contact the issuing State systematically to ensure the validity of the licence?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 33	PEL 3.163 How does the State ensure that the original licence is in full compliance with Annex 1?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
CC Art. 33, 39 & 40	PEL 3.164 If the original licence is not in full compliance, what are the procedures used by the State to comply with Articles 39 and 40 of the Chicago Convention?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.165 What methods are used to establish the validity of foreign licences before they are used to issue a national licence?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A.15 4.1.2C	PEL 3.166 Are those procedures published in the national Aeronautical Information Publications (AIPs)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.170 — Procedures established for personnel licensing and rating — Validation of foreign licences				
GM Doc 9379 C7	PEL 3.171 Has the State established procedures for the validation of foreign licences and ratings?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	PEL 3.172 Does the State contact the issuing State systematically to ensure the validity of the licence?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 33	PEL 3.173 How does the State ensure that the original licence is in full compliance with Annex 1?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Art. 33, 39 & 40	PEL 3.174 If the original licence is not in full compliance, what are the procedures used by the State to comply with Articles 39 and 40 of the Chicago Convention?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9379 C7	PEL 3.175 Have specific requirements been established for the validation of commercial pilot and airline transport pilot licences?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A15 4.1.2c	PEL 3.176 If yes, what are those requirements and are they published in the national AIPs?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.177 What methods are used to establish the validity and privileges of foreign licences before they are rendered valid by the State?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.178 Have specific procedures been established for the validation of licences for personnel other than flight crew members: 1. aircraft maintenance? (technician/engineer/mechanic) ☐ Yes ☐ No 2. flight operations officer/flight dispatcher? ☐ Yes ☐ No 3. air traffic controller? ☐ Yes ☐ No 4. aeronautical station operator? ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.180 — Procedures established for personnel licensing and rating — Acceptance of military qualifications				
GM Doc 9379 C7 7.4	PEL 3.181 Has the State established a policy for the qualification of military personnel for civilian licences and ratings?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7 7.4	PEL 3.182 If yes, what are the processes followed for the qualification of military personnel?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9379 C7 7.4	PEL 3.183 If no, what are the processes followed for the qualification of military personnel, and how does the authority ensure consistency?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.190 — Procedures established for personnel licensing and rating — Renewal, recency and maintenance of competency				
GM Doc 9379 C4	PEL 3.191 What type of personnel licences and ratings are issued by the State (expiring type or continuing type)?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C4	PEL 3.192 If personnel licences and ratings are of the "expiring type", what is the period of validity of the various licences and ratings?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C4	PEL 3.193 If personnel licences and ratings are of the "continuing type", what system is used to satisfy other Contracting States as to their validity?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C4	PEL 3.194 What methods are used to ensure the maintenance of competency of licensed personnel? 1. recency requirements ☐ Yes ☐ No 2. testing ☐ Yes ☐ No 3. recurrent training ☐ Yes ☐ No 4. other ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C4	PEL 3.195 Are there special rules for a foreign licence validation?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C4	PEL 3.196 How may expired licences and rating privileges be re-established?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
PEL 3. 200 — Procedures established for personnel licensing and rating — Processing of medical assessments				
STD A1 1.2.4.6	PEL 3. 201 What system is in place to ensure the medical fitness of a licence holder? 1. designated examiners ☐ Yes ☐ No 2. authority doctors ☐ Yes ☐ No 3. military doctors ☐ Yes ☐ No 4. assessment from foreign authority ☐ Yes ☐ No 5. other ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	PEL 3.202 Who issues the medical assessment? 1. designated examiners ☐ Yes ☐ No 2. authority after reviewing report from designated examiners. ☐ Yes ☐ No			
STD A1 1.2.4.5.1	PEL 3.203 Has the State established the proper action to be taken in case of false declarations by an applicant?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.4.8	PEL 3.204 Has the State established procedures for the issuance of a medical assessment in cases where the medical standards prescribed in Annex 1, Chapter 6, are not fully met?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.5.2.3	PEL 3.205 Has the State established circumstances in which a medical examination may be deferred?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3. 210 — Procedures established for personnel licensing and rating — Medical assessment and medical examiners				
STD A1 1.2.4.4	PEL 3.211 Has the State designated medical examiners to conduct medical examinations of the fitness of applicants for licences and ratings?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A1 1.2.4.4	PEL 3.212 If no, what is the procedure used to assess the medical fitness of an applicant?		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A1 1.2.4.4	PEL 3.213 If yes: 1. Are they employees of the civil aviation administration? ❒ Yes ❒ No 2. Has the State designated medical examiners who received training in aviation medicine? ❒ Yes ❒ No		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A1 1.2.4.4	PEL 3.214 If yes to 2. above, how and where is the training in aviation medicine provided?		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
	PEL 3.215 What is the scope of authority given to a medical examiner (classes of medical assessment, issuance of waiver, etc.)?		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
	PEL 3.216 What is the procedure for designating a medical examiner (pre-requisite, duration of authority, renewal, etc.)?		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
	PEL 3.217 Has the State established a system for the supervision and control of medical examiners?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
PEL 3.220 — Control and supervision of licenses and ratings issued — Examinations and tests				
GM Doc 9379 C2	PEL 3.221 Does the State make available information regarding examinations, such as a study book, flight test guidelines, etc.?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.230 — Control and supervision of licenses and ratings issued — Written and oral examinations				
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.231 Does the licensing authority develop, conduct and correct its own written and oral examinations for the issuance of licences and ratings issued by the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.232 If no, by whom and where are written examinations for the issuance of licences and ratings developed, conducted and corrected?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.233 If no, for which licences and ratings?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.234 If yes, for which licences and ratings?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.235 If yes, which type of questionnaire is used (multiple choice, open question, etc.)?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.236 If yes, when and how is a ground examination taken (set schedule, on demand, etc.)?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.237 If yes, what is the life expectancy of a questionnaire or question?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 STD A15 4.1.2c	PEL 3.238 Are examination requirements for the validation of licences and/or ratings published in the national AIPs?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.240 — Control and supervision of licenses and ratings issued — Examiners (written and oral examinations)				
GM Doc 9379 C6	PEL 3.241 Are full-time examiners employed by the authority to: 1. prepare ☐ Yes ☐ No 2. conduct ☐ Yes ☐ No 3. correct ☐ Yes ☐ No written examinations?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C6	PEL 3.242 If the State does not employ full-time examiners, who prepares, conducts and corrects written examinations?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C6	PEL 3.243 How are examiners appointed and what qualifications are they required to have?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C6	PEL 3.244 Does the State use written examinations prepared by other States or regional organizations?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9379 C6	PEL 3.245 In cases where examiners are provided by organizations other than the licensing authority, how are the qualifications of such examiners assured?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.250 — Control and supervision of licenses and ratings issued — Practical and flight examinations				
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.251 Does the State conduct its own flight and practical tests for licences and/or ratings?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.252 If yes, for which licences and ratings?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.253 If yes, which flight and practical tests are conducted by officers of the licensing authority?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.254 If yes, has the civil aviation administration appointed designated flight examiners (i.e. non-civil aviation administration officers)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A1 2.1.1.3.1 GM Doc 9379 C5	PEL 3.255 Has the State established a system for the supervision and control of flight and practical test delivery?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
PEL 3.260 — Control and supervision of licenses and ratings issued — Examiners (flight examinations)				
GM Doc 9379 C6	PEL 3.261 Are full-time flight and practical test examiners employed by the State to conduct flight and practical tests for the issuance of licences and ratings?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9379 C6	PEL 3.262 If yes, how are flight and practical test examiners appointed, and what qualifications are they required to have?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9379 C6	PEL 3.263 How does the State ensure the maintenance of qualification and proficiency by flight and practical test examiners?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9379 C6	PEL 3.264 Does the State appoint designated flight examiners?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9379 C6	PEL 3.265 If yes, what are the criteria for the designation?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9379 C6	PEL 3.266 If yes, what is the duration of the designation and the procedure for renewal?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9379 C6	PEL 3.267 If yes, what are the procedures used to ensure consistency and reliability of testing by the designated examiner (training, guidance material, supervision, etc.)?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.270 — Control and supervision of licenses and ratings issued — Records				
GM Doc 9379 C7	PEL 3.271 Does the State maintain a personal file for each applicant and licence holder, which contains all correspondence, applications, assessments, examination results and other licensing documentation?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.272 If yes, who has access to those records, and how is confidentiality and security of individual records maintained?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.273 Do the contents of the applicant's file provide a progressive history of the applicant and current status of the application?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.274 Are the documentation and records contained in the personal file used to back up the application for a licence, and to continue support after the licence has been issued?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.275 Has the State established a system for closing and archiving personal files and records?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9379 C7	PEL 3.276 If yes, how are records and information archived and how is their security ensured?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9379 C7	PEL 3.277 How long is documentation and information kept before being destroyed?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.280 — Control and supervision of licenses and ratings issued — Physical specifications of licences				
STD A1 C5	PEL 3.281 Do licences issued by the State conform to the specifications provided for in Annex 1, Chapter 5? *(Note.— Obtain specimens of all national licences and ratings issued by the State.)*	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.300 — Control and supervision of training institutes and/or aviation schools				
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.301 Are aviation training establishments available in the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.302 If yes, what type of training is offered by the aviation training centres?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.303 Has the State established a system for the certification and inspection of aviation training centres?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.304 Do aviation training centres operating in the State conduct examinations and testing on behalf of the licensing authorities?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.305 Has the State established procedures for approving and supervising approved training?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.306 Do the aviation training centres operating in the State provide an approved training programme?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.307 If yes, which training centres provide approved training and what are the courses covered under the approved programme?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.308 Has the State established a system to ensure the qualification and competency of the instructors in all aviation training centres?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.309 Does the civil aviation authority operate a training centre to satisfy its need for trained and qualified personnel?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.310 If yes, what programmes are delivered in the authority-administered training centre?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.311 If aviation training schools are not available in the State, what are the sources of trained and qualified personnel for aviation duties (e.g. military, foreign school)?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.312 Has the State established a method for verifying the quality of training received by its nationals in foreign training centres?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.313 Does the State authorize any foreign training centres to provide approved training to its nationals?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A1 1.2.8 GM Doc 9379 C3	PEL 3.314 If yes, how does the State ensure the quality of the approved training provided?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
PEL 3.400 — Status of implementation and differences to ICAO SARPs				
CC Article 37	PEL 3.401 Are there differences between the provisions of the national personnel licensing regulations and ICAO Annex 1 Standards?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Article 38	PEL 3.402 If yes, was ICAO notified of these differences?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
CC Article 38	PEL 3.403 Are there differences between the provisions of the national personnel licensing regulations and ICAO Annex 1 Recommended Practices?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A15 4.1.2c	PEL 3.404 If yes, are these differences notified to ICAO and/or published in the State's AIP?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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Chapter 10

AUDIT PROTOCOL — Operation of Aircraft (Annex 6)

10.1 GENERAL

10.1.1 This chapter contains the standard auditing procedures for the conduct of audits of the operation of aircraft. It provides both the auditors and the State with a step-by-step guide to verification of the status of implementation.

10.1.2 The audit protocol indicates whether the provision in the reference document complies with, conforms with, or adheres to, requirements of the Chicago Convention (CC), an Annex Standard (STD), an Annex Recommended Practice (RP), or an ICAO document guidance material (GM).

10.2 CONTENT OF THE AUDIT PROTOCOL

10.2.1 The audit protocol in this chapter contains 14 parts:

1. Aircraft operations certification — Regulatory background (OPS 4.000);
2. Organization and staffing of the aircraft operations certification system (OPS 4.050);
3. Procedures established for aircraft operations certification — AOC application information (OPS 4.100);
4. Procedures established for aircraft operations certification — AOC formal application (OPS 4.125);
5. Procedures established for aircraft operations certification — Operations inspection prior to certification (OPS 4.150);
6. Procedures established for aircraft operations certification — Prevention of controlled flight into terrain (CFIT) (OPS 4.225);
7. Procedures established for aircraft operations certification — The transport of dangerous goods (OPS 4.250)
8. Procedures established for aircraft operations certification — Aircraft lease, charter and interchange (OPS 4.300);
9. Procedures established for aircraft operations certification — Issuance of the air operator certificate (AOC) (OPS 4.350);
10. Procedures established for aircraft operations certification — System in place for the certification of commercial air transport operators (OPS 4.400);
11. Aircraft operations supervision — Regulatory background (OPS 4.500);
12. Organization and staffing of the aircraft operations supervision system (OPS 4.525);
13. Procedures established for aircraft supervision — Surveillance programme (OPS 4.550);
14. Status of implementation and differences to ICAO SARPs (OPS 4.600).

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
OPS 4.000 — Aircraft operations certification — Regulatory background				
GM Doc 8335 1.2.1 & 1.2.2	OPS 4.001 Has the State developed and promulgated aircraft operations regulations to enable the State to implement the provisions of Annex 6?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 1.2.1 & 1.2.2	OPS 4.002 If yes, what is the formal title of the regulations and when were they promulgated? (List all the regulations related to aircraft operations.)			
GM Doc 8335 2.4	OPS 4.003 Are amended and up-to-date copies of aircraft operation regulations used by the State readily available to operations inspectors?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.4	OPS 4.004 Does each operations inspector have a current copy of the State's aircraft operations regulations?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.4	OPS 4.005 Does the aircraft operations organization have an example of an order, directive and/or instruction issued in support of its aircraft operations activities?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	OPS 4.006 Does the aircraft operations organization have a technical library?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	OPS 4.007 Are the relevant ICAO documents and other technical documents readily available to the technical and administrative staff of the aircraft operations organization?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
ICAO references: CC = Chicago Convention; STD = Standard; RP = Recommended Practice; GM = Guidance material.				

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 2.4	OPS 4.008 Does the aircraft operations organization have a current copy of Annex 6 — *Operation of Aircraft* available?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
OPS 4.050 — Organization and staffing of the aircraft operations certification system				
GM Doc 8335 9.1	OPS 4.051 Is there an aircraft operations organization established as part of the certification and supervision system of the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.1	OPS 4.052 Is there an organizational chart of the aircraft operations organization (operations inspectorate) available?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.1	OPS 4.053 Is the aircraft operations organization integrated by: 1. operations only ☐ Yes ☐ No 2. operations and airworthiness ☐ Yes ☐ No 3. different specialties ☐ Yes ☐ No			
GM Doc 8335 9.1	OPS 4.054 If the operations inspection organization is not a combined one, what provisions are made for cooperation with other personnel responsible for flight safety regulations?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
GM Doc 8335 9.2	OPS 4.055 What are the responsibilities of the aircraft operations organization? 1. recommendations regarding issuance of the Air Operator Certificate ❒ Yes ❒ No 2. recommendations on specific authorizations ❒ Yes ❒ No 3. information regarding deficiencies ❒ Yes ❒ No 4. development or revision of regulations ❒ Yes ❒ No 5. recommendations regarding enforcement ❒ Yes ❒ No		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
	OPS 4.056 How many operations inspectors work in each specialized area of the operations inspectorate organization? 1. Headquarters: • flight operations • ground operations • dangerous goods • ramp checks • cabin safety • enforcement only 2. Regional offices (if applicable): • flight operations • ground operations • dangerous goods • ramp checks • cabin safety • enforcement only		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
GM Doc 8335 9.3.1 & 9.4	OPS 4.057 What qualifications are operations inspectorate staff required to have? 1. airline transport pilot ☐ Yes ☐ No 2. commercial pilot ☐ Yes ☐ No 3. airline flight crew ☐ Yes ☐ No 4. flight dispatcher ☐ Yes ☐ No 5. ATC controller ☐ Yes ☐ No 6. previous experience ☐ Yes ☐ No 7. other (specify) ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.6.1	OPS 4.058 Is there a formal inspector handbook for the use and guidance of members of the operations inspection organization?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.6.1	OPS 4.059 Does the inspector handbook contain policy and procedures for: 1. certification ☐ Yes ☐ No 2. inspection ☐ Yes ☐ No 3. surveillance ☐ Yes ☐ No 4. enforcement ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.3.1 & 9.4	OPS 4.060 Is a personnel file record for each operations inspector available for review?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.3.2	OPS 4.061 Does the personal file record of flight operations inspectors contain information on flight activity, such as recency of experience, flight or simulator training, competency checks, ratings, etc.?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.7.2	OPS 4.062 Is there a formal training programme for the technical personnel of the operations inspection organization?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 9.7.2	OPS 4.063 Is there formal recurrent training for the technical personnel of the operations inspection organization?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.7	OPS 4.064 What kinds of training (initial and recurrent) do aircraft operations inspectors receive? 1. accident investigation training ☐ Yes ☐ No 2. accident prevention training ☐ Yes ☐ No 3. flight safety training ☐ Yes ☐ No 4. technical report writing ☐ Yes ☐ No 5. supervisory training ☐ Yes ☐ No 6. flight training ☐ Yes ☐ No 7. flight dispatch training ☐ Yes ☐ No 8. dangerous goods training ☐ Yes ☐ No 9. cabin safety training ☐ Yes ☐ No 10. enforcement training ☐ Yes ☐ No 11. quality assurance ☐ Yes ☐ No 12. Human Factors ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.7.2	OPS 4.065 Where is the operations inspectors' training taken? 1. in-house ☐ Yes ☐ No 2. national institutes or schools ☐ Yes ☐ No 3. foreign institutes or schools ☐ Yes ☐ No 4. national air operators ☐ Yes ☐ No 5. foreign air operators ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
OPS 4.100 — Procedures established for aircraft operations certification — AOC application information				
GM Doc 8335 3.2	OPS 4.101 Is the information concerning the application for an AOC established for a prospective commercial air transport operator?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 3.3	OPS 4.102 Is the information concerning the application for an amendment to the AOC established for an air operator?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 3.3	OPS 4.103 Is there an established formal application form for an AOC that a prospective commercial air transport operator must complete and submit?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 3.2	OPS 4.104 Is there a form for an amendment to the AOC established that an air operator must complete and submit?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 3.3	OPS 4.105 Does the application contain details on: 1. main base of operations ☐ Yes ☐ No 2. organizational structure ☐ Yes ☐ No 3. key staff members ☐ Yes ☐ No 4. type of operation ☐ Yes ☐ No 5. proposed routes ☐ Yes ☐ No 6. type of aircraft ☐ Yes ☐ No 7. proposed airports ☐ Yes ☐ No 8. maintenance ☐ Yes ☐ No 9. personnel training ☐ Yes ☐ No 10. leasing contract ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 3.3	OPS 4.106 Does the civil aviation administration provide information concerning: 1. an advisory pamphlet with information and guidance for the AOC application ☐ Yes ☐ No 2. the type of operation which may be authorized ☐ Yes ☐ No 3. documentation and data to be provided by the applicant ☐ Yes ☐ No 4. procedures to be followed in the processing of an application ☐ Yes ☐ No 5. approximate period of time required by the civil aviation administration to make the preliminary assessment ☐ Yes ☐ No 6. the impossibility of judging operating competence until a sufficient period of demonstration of such competence is completed ☐ Yes ☐ No 7. detailed description of how the applicant intends to show compliance with each provision of the applicable aircraft operations regulations ☐ Yes ☐ No 8. overall period required to reach a final decision ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
OPS 4.125 — Procedures established for aircraft operations certification — AOC formal application				
GM Doc 8335 4.2	OPS 4.126 Is the applicant required to: 1. provide an intent declaration form ❒ Yes ❒ No 2. provide a pre-application statement ❒ Yes ❒ No 3. attend a pre-application meeting ❒ Yes ❒ No 4. submit a formal application form ❒ Yes ❒ No 5. provide an initial compliance statement ❒ Yes ❒ No 6. agree on a schedule of events ❒ Yes ❒ No 7. provide relevant manuals ❒ Yes ❒ No 8. provide maintenance arrangements ❒ Yes ❒ No		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
GM Doc 8335 3.4.2	OPS 4.127 Upon receipt of an application, is it assigned to a project manager or a particular inspector [Principal Operations Inspector (POI)]?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 3.2.1	OPS 4.128 Does the project manager or the POI assess an applicant's application under the following headings? 1. personal qualifications and experience ☐ Yes ☐ No 2. managerial ability ☐ Yes ☐ No 3. adequacy of staff, facilities, equipment and finances ☐ Yes ☐ No 4. proposed route structure, traffic potential and economic viability ☐ Yes ☐ No 5. rights of CAA inspectors and CAA inspection and surveillance policy ☐ Yes ☐ No 6. development of an operations manual and a maintenance manual ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 3.2.2	OPS 4.129 What advice is given to the prospective air operator as to the amount of time that will be required subsequent to the receipt of a complete and properly executed formal application?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 4.4.2	OPS 4.130 As part of a preliminary assessment of the applicant's technical fitness, is a general review of the procedures, practices and methods carried out, as detailed in the operations manual, maintenance control manual, training programmes, etc.?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 4.4.3	OPS 4.131 Is the POI encouraged to meet with the applicant's officials, develop an action plan in concert with these officials, advise and counsel the appropriate personnel, etc.?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 4.4.3	OPS 4.132 As part of a preliminary assessment of the applicant's technical fitness, is the coordination between the areas of operations and airworthiness ensured?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
OPS 4.150 — Procedures established for aircraft operations certification — Operations inspection prior to certification				
STD A6 Part I 4.2.2.1 GM Doc 9376	OPS 4.151 Is there a requirement for operators to prepare an operations manual?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.1.3 GM Doc 9376	OPS 4.152 Is the organization reviewed to ensure conformity with the operations manual and to ensure that an adequate organization exists and that the functions of the persons involved are clear and coherent?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.2.2	OPS 4.153 Is there a requirement for operators to provide a copy of the operations manual, together with all amendments and revisions, for review and acceptance or approval when required?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.2.2	OPS 4.154 Are the requirements for the content of an operations manual in accordance with Appendix 2?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.2.2	OPS 4.155 Are the specific items in the operations manual approved by the civil aviation administration in accordance with Annex 6, Part I, 4.2.7, 6.1.2, 9.3.1 and 12.4?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.2.2	OPS 4.156 Is the operations manual reviewed to ensure that it provides users with the necessary policy guidance and instructions in a clear and concise manner?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 3.3	OPS 4.157 Is the organization reviewed to ensure that the operator or a designated representative is in charge of the operational control?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 3.6	OPS 4.158 Is the operator required by regulations to establish and maintain an accident prevention and flight safety programme?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.1.1	OPS 4.159 Is the operator required by regulations to establish procedures to ensure that a flight will not be commenced unless operating facilities are available?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.5 6.1.3	OPS 4.160 Is the operator required by regulations to develop and use checklists?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.6.2	OPS 4.161 Is the operator required by regulations to specify in the operations manual the method by which minimum flight altitudes are to be determined?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.7.1 App. 2 4.2.2	OPS 4.162 Is the operator required by regulations to establish in the operations manual aerodrome operating minima for each aerodrome to be used in its operations?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.8	OPS 4.163 Is the operator required by regulations to establish operational procedures in the operations manual for threshold crossing height for precision approaches?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.9	OPS 4.164 Is the operator required by regulations to establish operational procedures in the operations manual for maintaining fuel and oil records?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 4.2.10.2 App. 2 4	OPS 4.165 Is the operator required by regulations to include in the operations manual rules for limiting flight time and flight duty periods of all its crew members?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.10.3	OPS 4.166 Is the operator required by regulations to establish procedures to maintain current records of the flight time, flight duty periods and rest periods of all its crew members?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.11.1	OPS 4.167 Is the operator required by regulations to establish procedures to inform passengers about the location and use of emergency equipment and emergency procedures?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.3	OPS 4.168 Is the operator required by regulations to establish operational procedures to complete the flight preparation prior to commencement of a flight?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.4	OPS 4.169 Is the operator required by regulations to establish in-flight procedures in the operations manual?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.5	OPS 4.170 Is the operator required by regulations to establish the duties of the pilot-in-command and to include them in the operations manual?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.6 GM Doc 8335 5.4.6	OPS 4.171 Is the operator required by regulations to establish the duties of the flight operations officers/flight dispatcher and to include them in the operations manual?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 4.3.5.4	OPS 4.172 Is the operator required by regulations to establish operational procedures to ensure that the aircraft is inspected for icing prior to take-off and to include them in the operations manual?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.3.7.1	OPS 4.173 Is the operator required by regulations to establish operational procedures for refueling when passengers are embarking, on board or disembarking?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.7 GM A6 Att. E	OPS 4.174 Has the State established regulations specifying a threshold time for extended range operations (ETOPS) by aeroplanes with two turbine power-units?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.7	OPS 4.175 Is the operator required by regulations to establish operational procedures for extended range operations (ETOPS) by aeroplanes with two turbine power-units?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.7	OPS 4.176 Is the operator required by regulations to establish a training programme for extended range operations (ETOPS) by aeroplanes with two turbine power-units?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.8	OPS 4.177 Is the operator required by regulations to establish operational procedures to ensure that all baggage carried onto an aeroplane and taken into the passenger cabin is adequately and securely stowed?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 6.1.2 GM A6 Att. G	OPS 4.178 Is the operator required by regulations to establish in the operations manual a minimum equipment list (MEL)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
STD A6 Part I 6.1.2	OPS 4.179 Is the MEL approved by the civil aviation administration?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 6.1.3	OPS 4.180 Is the operator required by regulations to provide the operations staff and flight crew with an aircraft operating manual corresponding to the aircraft type operated?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 6.2.3	OPS 4.181 Is the operator required by regulations to establish procedures for the documentation (aircraft library) to be carried on board?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 6.3.10.1	OPS 4.182 Is the operator required by regulations to establish procedures to avoid flight recorders being switched off during flight time?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 6.3.11	OPS 4.183 Is the operator required by regulations to establish operational checks and evaluations of recordings from the flight data and cockpit voice recorder systems to ensure the continued serviceability of the recorders?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 6.13	OPS 4.184 Is the operator required by regulations to carry on board a document attesting noise certification in accordance with Annex 16, Volume I?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 6.20	OPS 4.185 Is the operator required by regulations to establish procedures to ensure that below the transition level/altitude all flight crew members required to be on flight deck duty communicate through boom or throat microphones?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 9.1.1	OPS 4.186 Is the operator required by regulations to establish procedures to ensure that the number and composition of the flight crew shall not be less than that specified in the operations manual?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 9.3	OPS 4.187 Is the operator required by regulations to establish and maintain a flight training programme for flight crew members that ensures that: 1. flight crew members are adequately trained to perform their duties ☐ Yes ☐ No 2. ground and flight training facilities are provided ☐ Yes ☐ No 3. properly qualified instructors are provided ☐ Yes ☐ No and contains the following: 1. crew coordination and training in all types of emergency or abnormal situations or procedures ☐ Yes ☐ No 2. training in knowledge and skills related to human performance ☐ Yes ☐ No 3. training in knowledge and skills related to the transport of dangerous goods ☐ Yes ☐ No 4. training for each flight crew member on abnormal or emergency procedures ☐ Yes ☐ No 5. flight crew members coordination ☐ Yes ☐ No 6. recurrent training programme including an examination to determine competence. ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 9.4.1	OPS 4.188 Is the operator required by regulations to establish procedures for not assigning a pilot to act as pilot-in-command unless that pilot has made at least three take-offs and landings within the preceding 90 days?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 9.4.2	OPS 4.189 Is the operator required by regulations to establish procedures for not assigning a co-pilot to operate the flight controls during take-off and landing unless that co-pilot has demonstrated recency of experience?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 9.4.3.1	OPS 4.190 Is the operator required by regulations to establish procedures for not utilizing a pilot as pilot-in-command on a route or route segment for which that pilot is not currently qualified?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 9.4.4	OPS 4.191 Is the operator required by regulations to establish procedures to ensure that piloting technique and the ability to execute emergency procedures is checked twice within any period of one year?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 9.6	OPS 4.192 Has the civil aviation administration established regulations specifying the limitations applicable to the flight time and flight duty periods for flight crew members?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 10.1	OPS 4.193 Are flight operations officers/flight dispatchers licensed in accordance with the provisions of Annex 1?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
RP A6 Part I 10.2	OPS 4.194 Is the operator required by regulations to establish a training programme for flight operations officers/flight dispatchers?	❒ Yes ❒ No ❒ Other means of compliance	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
RP A6 Part I 10.3	OPS 4.195 Is the operator required by regulations to establish procedures to ensure that flight operations officers/flight dispatchers assigned to duty maintain complete familiarization with all features of the operation which are pertinent to such duties, including knowledge and skills related to human performance?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 11.7	OPS 4.196 Is the operator required by regulations to establish procedures to ensure the preservation of all related flight recorder records in case of incidents or accidents?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 12.1	OPS 4.197 Is the operator required by regulations to establish the minimum number of cabin crew required for each type of aeroplane?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 12.4	OPS 4.198 Is the operator required by regulations to establish a training programme to be completed by all persons before being assigned as a cabin crew member?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 12.4	OPS 4.199 Is the operator required by regulations to establish an annual recurrent training programme for cabin crew?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 12.4	OPS 4.200 Are the initial training and recurrent training programmes for cabin crew reviewed and approved by the civil aviation administration?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 12.4	OPS 4.201 If training programmes are approved, are they monitored by the State?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A6 Part I 12.4	OPS 4.202 Do cabin crew and flight crews participate in combined crew training programmes?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 12.5	OPS 4.203 Has the civil aviation administration established regulations specifying the limitations applicable to the flight time and flight duty periods for cabin crew?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 13.2	OPS 4.204 Is the operator required by regulations to establish procedures to ensure that there is on board a checklist of the procedures to be followed in searching for a bomb in case of suspected sabotage?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 13.3	OPS 4.205 Is the operator required by regulations to establish and maintain a training programme to enable crew members to act in the most appropriate manner to minimize the consequences of acts of unlawful interference?	☐ Yes ☐ No ☐ Other means of compliance	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
OPS 4.225 — Procedures established for aircraft operations certification — Prevention of controlled flight into terrain (CFIT)				
STD A6 Part I 6.15.1	OPS 4.226 Has the State promulgated regulations for all turbine-engined aeroplanes of a maximum certificated take-off mass in excess of 5 700 kg or authorized to carry more than nine passengers to be equipped with a ground proximity warning system (GPWS)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
RP A6 Part I 6.15.2	OPS 4.227 Has the State promulgated regulations that all piston-engined aeroplanes of a maximum certificated take-off mass in excess of 5 700 kg or authorized to carry more than nine passengers should be equipped with a ground proximity warning system (GPWS)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 6.15.3	OPS 4.228 Has the State developed provisions specifying that a ground proximity warning system (GPWS) shall provide automatically a timely and distinctive warning to the flight crew when the aeroplane is in potentially hazardous proximity to the earth's surface?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 6.15.4	OPS 4.229 Has the State developed provisions specifying that a ground proximity warning system (GPWS) shall provide, as a minimum, warnings of the following circumstances: 1. Excessive descent rate; 2. Excessive terrain closure rate; 3. Excessive altitude loss after take-off or go-around; 4. Unsafe terrain clearance while not in landing configuration; a) gear not locked down; b) flaps not in a landing position; and 5. Excessive descent below the instrument glide path.	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 6.15.5	OPS 4.230 Has the State promulgated regulations that all turbine-engined aeroplanes of a maximum certificated take-off mass in excess of 15 000 kg or authorized to carry more than 30 passengers, for which the individual certificate of airworthiness is first issued on or after 1 January 2001, shall be equipped with a ground proximity warning system which has a predictive terrain hazard warning function?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 6.15.6	OPS 4.231 Has the State promulgated regulations that all turbine-engined aeroplanes of a maximum certificated take-off mass in excess of 15 000 kg or authorized to carry more than 30 passengers, from 1 January 2003, shall be equipped with a ground proximity warning system which has a predictive terrain hazard warning function?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
RP A6 Part I 6.15.7	OPS 4.232 Has the State promulgated regulations that all turbine-engined aeroplanes of a maximum certificated take-off mass in excess of 5 700 kg or authorized to carry more than nine passengers should be equipped with a ground proximity warning system which has a predictive terrain hazard warning function?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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STD A6 Part I 3.6, 4.2.2, and App. 2 **Doc 9376 C 3, 4, 8 and 12** **Doc 9422 C5** **Doc 8188 Vol. I**	OPS 4.233 In relation to its safety programme, is the operator required by regulations to establish procedures or instructions for its operations personnel to ensure that the following items have been addressed: 1. standard operating procedures (SOP) for each phase of flight ❒ Yes ❒ No 2. instructions on the use of normal checklists and timing of their use ❒ Yes ❒ No 3. instructions on the maintenance of altitude awareness and the use of automated or flight crew altitude call-out ❒ Yes ❒ No 4. instructions on the use of autopilots and auto-throttles in IMC ❒ Yes ❒ No 5. instructions on the clarification and acceptance of ATC clearances, particularly where terrain clearance is involved ❒ Yes ❒ No 6. departure and approach briefings ❒ Yes ❒ No 7. route and destination familiarization ❒ Yes ❒ No 8. stabilized approach procedure ❒ Yes ❒ No 9. limitation on high rates of descent near the surface ❒ Yes ❒ No 10. Conditions required to commence or to continue an instrument approach ❒ Yes ❒ No 11. instructions for the conduct of precision and non-precision instrument approach procedures ❒ Yes ❒ No 12. allocation of flight crew duties and procedures for the management of crew workload during night and IMC instrument approach and landing operations ❒ Yes ❒ No 13. instructions and training requirements for the avoidance of controlled flight into terrain and policy for the use of the ground proximity warning system (GPWS) ❒ Yes ❒ No		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
OPS 4.250 — Procedures established for aircraft operations certification — The transport of dangerous goods				
STD A6 Part I 3.7	OPS 4.251 Has one department, or one official, been nominated to be responsible for dangerous goods and to respond to queries from airlines and shippers?	❑ Yes ❑ No ❑ Other means of compliance	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A18 2.2.1	OPS 4.252 Have the provisions of Annex 18 and the Technical Instructions (TI) been incorporated, either directly or by reference, into the national legislation?	❑ Yes ❑ No ❑ Other means of compliance	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A18 11.1	OPS 4.253 How is compliance with Annex 18 ensured? Are specialist dangerous goods inspectors appointed or do existing inspectors receive additional training?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A18 11.3	OPS 4.254 Have appropriate penalties for violations been prescribed?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A18 10.1	OPS 4.255 Are dangerous goods training programmes subject to review and approval by the State?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A6 9.3 12.4 App. 2	OPS 4.256 Are dangerous goods procedures and training programmes incorporated in either the operations manual or in a separate document as part of the operations manual?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
OPS 4.300 — Procedures established for aircraft operations certification — Aircraft lease, charter and interchange				
GM Doc 8335 C10	OPS 4.301 Does the civil aviation administration permit leases between commercial air transport operators within the State? 1. dry leases ❑ Yes ❑ No 2. wet leases ❑ Yes ❑ No 3. damp leases ❑ Yes ❑ No			

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
GM Doc 8335 C10	OPS 4.302 Does the civil aviation administration permit leases from other States? 1. dry leases ☐ Yes ☐ No 2. wet leases ☐ Yes ☐ No 3. damp leases ☐ Yes ☐ No			
GM Doc 8335 10.2.3	OPS 4.303 Are the following considerations observed when determining whether or not to permit a lease? 1. flight crew training ☐ Yes ☐ No 2. cabin crew training ☐ Yes ☐ No 3. operational control ☐ Yes ☐ No 4. dispatch or flight following ☐ Yes ☐ No 5. scheduling crew members ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 10.2.4	OPS 4.304 If a lease proposal is acceptable are operations specifications issued?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 10.2.4	OPS 4.305 If yes, do the operations specifications specify the regulations applicable to the operation of the aircraft?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
OPS 4.350 — Procedures established for aircraft operations certification — Issuance of the air operator certificate (AOC)				
STD A6 Part I 4.2.1.5	OPS 4.351 Do the contents of the AOC conform to ICAO requirements?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 3.2.1	OPS 4.352 Are different categories of AOCs available to commercial air transport operators?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 3.2.1	OPS 4.353 Does the AOC issued to an international air operator differ from that issued to a domestic air operator?	☐ Yes ☐ No		

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 3.2.1	OPS 4.354 Does the civil aviation administration issue AOCs to foreign air operators that wish to operate into the State?	☐ Yes ☐ No		
GM Doc 8335 2.2	OPS 4.355 Does the Chief Executive Officer refuse, withdraw, revoke, suspend or modify any operation authorized by the AOC, if it is necessary in the interest of safety to do so?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
OPS 4.400 — Procedures established for aircraft operations certification — System in place for the certification of commercial air transport operators				
STD A6 Part I 4.2.1.6 & GM Doc 8335 C3 to C7	OPS 4.401 As a summary, does the system for certification of air operators include the following aspects within the civil aviation administration? 1. aircraft OPS regulations ☐ Yes ☐ No 2. adequate organization ☐ Yes ☐ No 3. adequate budget ☐ Yes ☐ No 4. qualified inspectors ☐ Yes ☐ No 5. training programme ☐ Yes ☐ No 6. inspection procedures ☐ Yes ☐ No 7. supervision procedures ☐ Yes ☐ No 8. enforcement procedures ☐ Yes ☐ No 9. inspection programme ☐ Yes ☐ No 10. internal quality system ☐ Yes ☐ No 11. internal audit ☐ Yes ☐ No 12. other (specify) ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 4.2.1.6	OPS 4.402 As a general conclusion, is there an established system for the certification and supervision of commercial air transport operators which complies with Annex 6 provisions?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
OPS 4.500 — Aircraft operations supervision — Regulatory background				
GM Doc 8335 1.2.1 & 1.2.2	OPS 4.501 Has the State developed and promulgated regulations concerning inspection and supervision of aircraft operations, surveillance of commercial air transport operators and enforcement?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 1.2.1 & 1.2.2	OPS 4.502 If yes, what is the formal title of the regulations and when were they promulgated? (List all the regulations related to aircraft operations supervision.)			
OPS 4.525 — Organization and staffing of the aircraft operations supervision system				
GM Doc 8335 9.1	OPS 4.526 Is there an aircraft operations supervision organization established as part of the certification and supervision system of the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.1	OPS 4.527 Is the aircraft operations supervision organization integrated by: 1. operations only ☐ 2. operations and airworthiness ☐ 3. different specialties ☐		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.1	OPS 4.528 Is the aircraft operations supervision organization integrated with the aircraft operations certification organization or separated from it? 1. integrated organization ☐ 2. separated organization ☐		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.3.2	OPS 4.529 With respect to certificated air operators, does the civil aviation administration delegate any of its inspection or supervision responsibilities, such as competency checks, route checks, instruments ratings checks and conversion and upgrading checks, to qualified persons (designated inspectors or check airmen)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.3.3	OPS 4.530 If yes, what mechanism is in place to keep these designated persons (designated examiners or check airmen) under supervisory and technical control?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.3.3	OPS 4.531 If yes, what are the minimum requirements established by the civil aviation administration for being designated as a flight inspector (designated examiners or check airman) with the certificated air operators?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 9.3.3	OPS 4.532 Does the civil aviation administration utilize the services of other civil aviation organizations or service providers in meeting its safety oversight responsibilities?	☐ Yes ☐ No		
GM Doc 8335 9.6.1	OPS 4.533 Is there a formal inspector handbook for the surveillance of aircraft operations?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 Attach.	OPS 4.534 Does the surveillance personnel use a checklist during its inspections?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 9.4.2	OPS 4.535 If no, how are such inspections carried out?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
OPS 4.550 — Procedures established for aircraft supervision — Surveillance programme				
GM Doc 8335 9.6	OPS 4.551 Once an AOC is issued to a commercial air transport operator, are regular and random follow-up inspections conducted to ensure continuing compliance and fitness? 1. station facility ☐ Yes ☐ No 2. regular aerodrome ☐ Yes ☐ No 3. apron/ramp ☐ Yes ☐ No 4. en-route ☐ Yes ☐ No 5. base ☐ Yes ☐ No 6. all of the above (random) ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 5.4	OPS 4.552 Does the ground operations surveillance include such areas as: 1. air operator facilities ☐ Yes ☐ No 2. crew scheduling ☐ Yes ☐ No 3. planning and dispatch ☐ Yes ☐ No 4. flight following ☐ Yes ☐ No 5. documentation ☐ Yes ☐ No 6. training programme ☐ Yes ☐ No 7. ground equipment ☐ Yes ☐ No 8. records ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 5.5.2	OPS 4.553 Does the in-flight operations surveillance include such areas as: 1. in-flight procedures as found in the operations manual ☐ Yes ☐ No 2. facilities and equipment provided to the flight crew ☐ Yes ☐ No 3. support provided by operational control ☐ Yes ☐ No 4. provisions made for ground handling ☐ Yes ☐ No 5. en-route facilities ☐ Yes ☐ No 6. aircraft library ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 8.2.1	OPS 4.554 Does the established surveillance programme make allowance for monitoring a commercial air transport operator's financial condition, e.g. watching for unfavourable trends?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 8.2.9	OPS 4.555 Is there a specific philosophy associated with the surveillance policy involving different departments of the civil aviation administration?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 8.3.1	OPS 4.556 Is there a procedure to be followed if, on inspection, deficiencies are found?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 8335 8.3.1	OPS 4.557 Is the operator required to rectify deficiencies in a reasonable period of time?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 8335 8.3.1	OPS 4.558 What action is taken by the civil aviation administration if the operator does not rectify the deficiencies in a reasonable period of time?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
OPS 4.600 — Status of implementation and differences to ICAO SARPs				
CC Art. 38	OPS 4.601 Are any differences between the provisions of the national aircraft operation regulations and the ICAO Annex 6 Standards notified to ICAO?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
CC Art. 38	OPS 4.602 Are those differences included in the Supplement to the Annex?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
CC Art. 38	OPS 4.603 What is the real status of differences? (Refer to the OPS Section of the Pre-audit Questionnaire.)		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A15 4.1.2	OPS 4.604 Are there any differences between the provisions of the national aircraft operation regulations and ICAO Annex 6 Recommended Practices?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A15 4.1.2c	OPS 4.605 If yes, are those differences notified to ICAO and/or published in the Aeronautical Information Publication (AIP)?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
CC Art. 37	OPS 4.606 If the State has not promulgated specific aircraft operation regulations, what method is used to comply with the provisions of the Chicago Convention and its Annex 6?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	

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Chapter 11

AUDIT PROTOCOL — Airworthiness of Aircraft (Annex 8)

11.1 GENERAL

11.1.1 This chapter contains standard auditing procedures for the conduct of audits of the airworthiness of aircraft. It provides both the auditors and the State with a step-by-step guide to verification of the status of implementation.

11.1.2 The audit protocol indicates whether the provision in the reference document complies with, conforms with, or adheres to, requirements of the Chicago Convention (CC), an Annex Standard (STD), an Annex Recommended Practice (RP), or an ICAO document guidance material.

11.2 CONTENT OF THE AUDIT PROTOCOL

11.2.1 The audit protocol in this chapter contains 36 parts:

1. Airworthiness Inspection Division — Regulatory background (AIR 5.000);
2. Organization and staffing of the airworthiness inspection division (AID) (AIR 5.025);
3. Airworthiness inspection division — Delegation of authority (AIR 5.050);
4. Type design validation (AIR 5.060);
5. Import requirements (AIR 5.070);
6. Approval of modifications and repairs (AIR 5.080);
7. Issue of individual certificate of airworthiness (AIR 5.100);
8. Renewal and continuing validity of certificates of airworthiness (CofA) (AIR 5.150);
9. Flight permits (AIR 5.250);
10. Airworthiness approvals for export (AIR 5.270);
11. Certification of commercial air transport operators (AIR 5.300);
12. Operator's maintenance arrangements and contracting (AIR 5.310);
13. Operator's maintenance control manual (AIR 5.320);
14. Operator's maintenance programme (AIR 5.330);
15. Specific operating provisions (AIR 5.350);
16. Continuing airworthiness information (AIR 5.400);
17. Lease agreements, charters and interchange of aircraft (AIR 5.470);
18. Surveillance of operators (AIR 5.480);
19. Approval of maintenance organizations (AMO) (AIR 5.500);
20. AMO's maintenance procedures manual (AIR 5.520);
21. AMO's facilities (AIR 5.530);
22. AMO's personnel (AIR 5.550);
23. AMO's records and documentation (AIR 5.560);
24. AMO's maintenance release (AIR 5.565);
25. Surveillance of AMOs (AIR 5.575);
26. Exchange of continuing airworthiness information (AIR 5.600);
27. Accident/incident investigation (AIR 5.650);
28. Status of implementation and differences to ICAO SARPs (AIR 5.660);
29. Aircraft engineering/manufacturing certification and surveillance — Regulatory background (AIR 5.700);
30. Organization and staffing of aircraft engineering/manufacturing system — Airworthiness engineering division (AED) (AIR 5.710);
31. Delegation of authority (AIR 5.740);
32. Design organizations (AIR 5.750);
33. Type design approval (AIR 5.760);
34. Certificate of airworthiness — Production (AIR 5.800);
35. Import and export certification requirements (AIR 5.810); and
36. Status of implementation and differences to ICAO SARPs (AIR 5.850).

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
AIR 5.000 — Airworthiness Inspection Division — Regulatory background				
GM Doc 8335 1.2.1 & 1.2.2	AIR 5.001 Has the State developed and promulgated airworthiness regulations to enable the State to implement the provisions of Annexes 6, Chapters 8 & 11 and Annex 8?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 1.2.1 & 1.2.2	AIR 5.002 If yes, what is the formal title of the regulations and when were they promulgated? (List all the regulations related to airworthiness.)			
GM Doc 8335 2.4	AIR 5.003 Are amended and up-to-date copies of airworthiness regulations used by the State readily available to the users? If yes, describe the means available to access the regulations.	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.4	AIR 5.004 Does each airworthiness inspector/engineer have a current copy of the State's airworthiness regulations?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 4.6	AIR 5.005 Is there an airworthiness technical library available for airworthiness engineers and inspectors?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 4.6	AIR 5.006 Do airworthiness engineers and inspectors have access to: 1. ICAO documentation ☐ Yes ☐ No 2. State laws/regulations ☐ Yes ☐ No 3. orders/instructions ☐ Yes ☐ No 4. copies of airworthiness directives (AD) ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
ICAO references: CC = Chicago Convention; STD = Standard; RP = Recommended Practice; GM = Guidance material.				

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9389 4.6	AIR 5.007 Do airworthiness engineers and inspectors have access to design organization documentation: 1. aircraft flight manual ☐ Yes ☐ No 2. maintenance manual ☐ Yes ☐ No 3. structural repair manual ☐ Yes ☐ No 4. service bulletins ☐ Yes ☐ No 5. MMEL ☐ Yes ☐ No 6. MRB report ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A6 C8 8.7.2.1 8.7.2.4 8.7.3.2	AIR 5.008 Are up-to-date copies kept of: 1. maintenance organization procedures manuals ☐ Yes ☐ No 2. operator maintenance control manuals ☐ Yes ☐ No 3. maintenance programmes ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 2.4	AIR 5.009 Does the airworthiness technical library have a current copy of Annex 6 — *Operation of Aircraft,* Chapters 8 and 11 and Annex 8 —*Airworthiness* available?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.025 — Organization and staffing of the airworthiness inspection division (AID)				
GM Doc 9389 C4	AIR 5.026 Has an airworthiness inspection division (AID) been established?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9389 4.5.1	AIR 5.027 Is there a document that clearly establishes the duties and responsibilities of the airworthiness inspection division (AID) and within the AID?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.028 Have airworthiness inspection division (AID) duties been delegated to: 1. other CAA divisions ☐ Yes ☐ No 2. other State bodies ☐ Yes ☐ No 3. regional organization ☐ Yes ☐ No 4. private agencies ☐ Yes ☐ No 5. designated inspectors ☐ Yes ☐ No			

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9389 2.2.3	AIR 5.029 If yes to 1), 2) 3) 4) or 5), what is the relationship with the AID?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 2.2.3	AIR 5.030 If yes to 1), 2), 3) 4) or 5), how does the AID ensure control and oversight?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 2.2.3	AIR 5.031 If yes to 5), what are the requirements and procedures for designation?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc. 9389 2.2 & 4.4	AIR 5.032 How many airworthiness inspectors are there?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 2.1.3	AIR 5.033 Do the airworthiness regulations provide for right of inspection?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 2.1.3	AIR 5.034 Do airworthiness inspectors have a credential to inspect aircraft and facilities?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9734 3.5	AIR 5.035 Is there a formal handbook for the use and guidance of members of the airworthiness inspection division?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
	AIR 5.036 Does this handbook provide guidance for airworthiness staff to carry out their duties: 1. C of A issuance ☐ Yes ☐ No 2. C of A renewal ☐ Yes ☐ No 3. issuance of flight permits ☐ Yes ☐ No 4. approval of maintenance programme ☐ Yes ☐ No 5. operator maintenance control manual ☐ Yes ☐ No 6. AMO maintenance procedures manual ☐ Yes ☐ No 7. operator audit procedures ☐ Yes ☐ No 8. AMO audit procedures ☐ Yes ☐ No 9. ramp checks ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.037 Do airworthiness inspectors use checklists during: 1. C of A issue/renewal ☐ Yes ☐ No 2. aircraft ramp inspection ☐ Yes ☐ No 3. maintenance facility inspection ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 4.4	AIR 5.038 Are there minimum qualifications/experience for airworthiness inspectors?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 4.4	AIR 5.039 If yes, what are the minimum qualifications required?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 3.3.2	AIR 5.040 Are airworthiness inspectors provided with: 1. introductory training? ☐ Yes ☐ No 2. recurrent training? ☐ Yes ☐ No 3. specialized training? ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
	AIR 5.041 What is the subject of the training?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.042 What is the administrative staffing of the AID?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.043 What is the office equipment of the AID? 1. phone ☐ Yes ☐ No 2. fax ☐ Yes ☐ No 3. computers ☐ Yes ☐ No 4. microfiche reader ☐ Yes ☐ No 5. microfilm reader ☐ Yes ☐ No 6. Internet/intranet ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9389 4.4.1	AIR 5.044 Are travelling means easily accessible to airworthiness inspectors?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9389 1.2.8	AIR 5.045 Is the State involved in maintenance or operation activities?	☐ Yes ☐ No		
Doc 9389 1.2.8	AIR 5.046 If yes, is there a clear separation of authority between the State operating agency and the State regulatory authority?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.050 — Airworthiness inspection division (Delegation of authority)				
	AIR 5.051 Has the State ensured that sufficient legal authority has been delegated to the level of inspectors/ engineers to allow them to execute their mandate?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
	AIR 5.052 Has the State published an official delegation of authority document?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9734 3.4.1.2 **Doc 8335 8.1.2**	AIR 5.053 Have the following authorities been delegated, and to whom? 1. issue/renewal of C of A ☐ Yes ☐ No 2. approval of modifications and repairs ☐ Yes ☐ No 3. authority to issue a flight permit ☐ Yes ☐ No 4. approval of maintenance programme ☐ Yes ☐ No 5. approval of maintenance organizations ☐ Yes ☐ No 6. authority to suspend approvals ☐ Yes ☐ No 7. authority to inspect any aircraft ☐ Yes ☐ No 8. authority to inspect premises ☐ Yes ☐ No 9. authority to seize documents ☐ Yes ☐ No 10. authority to detain aircraft ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.060 — Type design validation (to be completed only if NO Engineering Division (AED) has been established)				
STD A8 Part II 2.2	AIR 5.061 Has the State adopted the airworthiness code of another State? If so, what is the formal title of the airworthiness code?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 2.2	AIR 5.062 Does the State authority have procedures for the validation of a type certificate issued by other States?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 5.10	AIR 5.063 If no, does the State have procedures for the issue of a first certificate of airworthiness for an aircraft type?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
A8 Pt III 9.3.5	AIR 5.064 If the State has procedures for the validation of a type certificate issued by other States, does the State ensure operators are provided with information concerning a least risk bomb location, to be incorporated in the AFM?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A6 Pt I 6.13 A16 Pt II Chap. 1	AIR 5.065 Does the State have a requirement for all aeroplanes to comply with noise certification standards in Annex 16, Volume 1, and to carry on board an aircraft a document (or a suitable statement) attesting to noise certification?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A16 Pt II 1.2	AIR 5.066 Does the State of registry have procedures for the granting or validation of a noise certificate on the basis of satisfactory evidence that the aircraft complies with requirements at least equivalent to those included in Annex 16?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.070 — Import requirements (to be completed only if NO Engineering Division (AED) has been established)				
GM Doc 9389 6.3.2	AIR 5.071 Does the State have special requirements for imported aircraft or aeronautical products to the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.080 — Approval of modifications and repairs				
STD A6 Part 1 8.6	AIR 5.081 Is there a requirement for the approval of modifications and repairs?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part 1 8.6 GM Doc 9642 Part V	AIR 5.082 If yes, what are the procedures for the approval of modifications and repairs?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
AIR 5.100 — Issue of individual certificate of airworthiness				
	AIR 5.101 How many aircraft are registered in the State? 1. large aeroplanes (over 5 700 kg) ☐ 2. small aeroplanes ☐ 3. helicopters ☐ 4. others ☐ 5. total ☐			
CC Art. 31	AIR 5.102 Does the State: 1. issue C of As? ☐ Yes ☐ No 2. validate C of As issued by other Contracting States? ☐ Yes ☐ No			
STD A8 Part II Chap. 3 **GM Doc 9389 6.2.2**	AIR 5.103 Is the applicant required to provide proof of compliance with appropriate airworthiness requirements to obtain a C of A?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 5.1 **GM Doc 9389 6.2.5.2**	AIR 5.104 Does the civil aviation administration ensure that an aircraft is airworthy prior to the initial issue of a certificate of airworthiness?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.105 Is there a checklist to be used by the AID inspectors for the issuance of a certificate of airworthiness?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II Chap. 8	AIR 5.106 Does the certificate of airworthiness issued by the State contain all the information required by Annex 8?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
A7 C6 & C7 A8 Part II C7	AIR 5.107 Does the information concerning registration mark, manufacturer, designation of aircraft and aircraft serial number correspond to the information on the certificate of registration and included in the register of nationality, common and registration marks?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9389 6.2.2.4	AIR 5.108 Does the civil aviation administration keep records for every aircraft registered in the State?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9389 6.2.2.4	AIR 5.109 What are the contents of aircraft records?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9389 6.2.2 & 6.2.3 & Att. 6C	AIR 5.110 Do State regulations require mass and balance reports for all aircraft which require a certificate of airworthiness?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
AIR 5.150 — Renewal and continuing validity of certificates of airworthiness (C of A)				
STD A8 Part II 5.1	AIR 5.151 Do State regulations require that a certificate of airworthiness be: 1. renewed at set intervals ❑ Yes ❑ No 2. issued on a continuing basis ❑ Yes ❑ No		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9389 Ch 4 and 6	AIR 5.152 If a State issues a C of A on a continuing basis, does the State have a system in place to know how many C of As have been issued?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A8 Part II 5.1 GM Doc 9389 6.2.5.3	AIR 5.153 Does the civil aviation administration ensure that an aircraft is airworthy prior to the renewal of a certificate of airworthiness?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
	AIR 5.154 Is there a checklist for renewal of certificate of airworthiness to be used by AID inspectors?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 5.1	AIR 5.155 If the certificate of airworthiness is issued on a continuing basis, are there procedures to ensure its continuing validity?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 6.1 **GM Doc 9389 6.2.6.2**	AIR 5.156 Do State regulations provide for the circumstances under which the certificate of airworthiness shall not be in force and require that the aircraft shall not be flown during such time?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 6.2.2, 6.2.3 Att. 6C	AIR 5.157 Do State regulations require periodic mass and balance reports for all aircraft which require renewal of certificate of airworthiness?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 Att.6 C 4.4(f)(4)	AIR 5.158 Is there a methodology to verify the accuracy and calibration status of mass and balance equipment?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 Att.4-B 1.4	AIR 5.159 Has the State established a system to receive regularly mandatory continuing airworthiness information such as Airworthiness Directives, Service Bulletins etc. for the type of aircraft registered in the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 4.2.3	AIR 5.160 Upon receipt of mandatory continuing airworthiness information, does the State: 1. adopt it directly ☐ Yes ☐ No 2. assess it and take appropriate action ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A8 Part II 4.2.3	AIR 5.161 What are the requirements and procedures for adopting mandatory continuing airworthiness information from the State of design or the State taking its own action?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 4.2.4	AIR 5.162 If the State takes its own action, what are the procedures to inform the State of design?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A6 Part 1 8.4 GM Doc 9389 Att. 4-B-3 4.0	AIR 5.163 How does the State ensure that the operator has complied or is continuing to comply with the specifications found in an Airworthiness Directive?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I Chap. 6 Doc 9642 Pt .V	AIR 5.164 Do State regulations regulate or mandate operations-derived equipment requirements which are not part of the type certification of aircraft (e.g. flight data recorders)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.250 — Flight permits				
STD A8 Part II 6.2.2 GM Doc 9389 6.4	AIR 5.251 Do State regulations allow for the ferry flight of aircraft?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 6.4.1	AIR 5.252 Who within the State's civil aviation administration has the authority to issue a flight permit?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
	AIR 5.253 Does the State's civil aviation administration issue continuous or blanket flight authorities to air operators (which permit the operator to carry out a flight without specific authorization but within certain limitations approved by the State)?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
GM Doc 9389 6.4.3	AIR 5.254 Does the State's civil aviation administration advise the air operator that the special flight authorization is not valid for use in foreign airspace unless validated by the foreign civil aviation administration within whose airspace the aircraft will be operated?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
STD A8 Part II 6.2.2 **GM Doc 9389 6.4.1**	AIR 5.255 What procedures are in place that must be followed in situations where an aircraft is no longer airworthy but must be flown for repair?		❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
AIR 5.270 — Airworthiness approvals for export				
GM Doc 9389 6.3	AIR 5.271 Does the State issue an Export Certificate of Airworthiness (for aircraft)? If yes, verify its content and procedures for issuance.	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
GM Doc 9389 6.3.5	AIR 5.272 Does the State's civil aviation administration advise the air operator that the export certificate of airworthiness (for aircraft) is not an authorization to fly?	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
GM Doc 9389 6.3.4 Attach. 6-D	AIR 5.273 Has the State developed regulations or procedures for the export approval for aeronautical products other than aircraft? If yes, verify the procedures for the different classification of products.	❒ Yes ❒ No	❒ Satisfactory ❒ Not satisfactory ❒ Not implemented ❒ Not applicable ❒ Not audited	
AIR 5.300 — Certification of commercial air transport operators				
	AIR 5.301 How many commercial air transport operators are there?			

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
STD A6 Part I 4.2.1.3	AIR 5.302 Is there an established system to ensure that a commercial air transport operator is not certified without demonstrating maintenance arrangements consistent with the nature and extent of the operations specified?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.303 Within the civil aviation administration, what is the mandate of the airworthiness inspection division with respect to the issue of an air operator certificate?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.304 Is there coordination with operations inspectors?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.1.4	AIR 5.305 What are the procedures to ensure that the operator employs qualified personnel to ensure that all aircraft maintenance is carried out in accordance with the maintenance control manual?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A6 4.7 Doc 8335 7.2 Doc 9389 C 9 Doc 9642 C 3	AIR 5.306 If specific operating provisions are issued in conjunction with an AOC, such as minimum equipment list or ETOPS approval, how and to what extent is the airworthiness inspection division involved in their issue?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.307 Once the AOC has been issued, does the airworthiness inspection division keep information on maintenance aspects of the certification process?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
AIR 5.310 — Operator's maintenance arrangements and contracting				
STD A6 Part I 8.1.2	AIR 5.311 Do State regulations require that an operator can only operate an aircraft if it has been maintained and released to service by an AMO?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.1.2	AIR 5.312 If no, what is the equivalent system established by the State?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A6 Part I 8.1.2	AIR 5.313 How does the State ensure that the operator maintains control of its responsibilities with respect to the continuing airworthiness of the aircraft?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.4	AIR 5.314 Do commercial air transport operators keep aircraft maintenance records, in compliance with ICAO SARPS?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.315 Does the AID review maintenance contracts?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.320 — Operator's maintenance control manual				
STD A6 Part I 8.2.4	AIR 5.321 Do State regulations require that an air operator maintenance control manual be submitted to the State authority?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 11.2	AIR 5.322 Are the requirements for the content of a maintenance control manual in accordance with ICAO provisions?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 11.2	AIR 5.323 Is the maintenance control manual reviewed to ensure that it provides users with the necessary policy guidance and instructions in a clear and concise manner?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 11.2	AIR 5.324 Is the maintenance control manual approved or accepted as part of the AOC issue process?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.330 — Operator's maintenance programme				
STD A6 Part I 8.3.1	AIR 5.331 Is there a requirement for the maintenance programme to be approved: 1. by the State of the operator ☐ Yes ☐ No 2. by the State of registry ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 11.3	AIR 5.332 Are the requirements for the content of the maintenance programme in accordance with ICAO provisions?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9389 7.3.14	AIR 5.333 Does the airworthiness inspection division approve an operator's maintenance reliability programme?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.334 Does the airworthiness inspection division maintain ongoing oversight of reliability programmes?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 11.3.1b) GM Doc 9642 Part VII C1 2.2 & 3	AIR 5.335 Does the airworthiness inspection division ensure that the maintenance programme includes a continuing structural integrity programme when applicable?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 11.3.1c)	AIR 5.336 What are the procedures for maintenance programme escalation?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.350 — Specific operating provisions				
STD A6 Part I 6.1.2 & Att. G	AIR 5.351 Are operators required to prepare a Minimum Equipment List (MEL) on the basis of the Master Minimum Equipment List (MMEL)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 6.1.2 & Att. F GM Doc 9389 Att. 7 C4	AIR 5.352 What are the procedures for approval of the MEL?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 6.1.2 & Att. F GM Doc 9389 Att. 7 C4	AIR 5.353 Do operators define deferred defects procedures?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.354 Are there operators authorized to carry out extended range operations (ETOPS)?	☐ Yes ☐ No		

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9642 Ch. I	AIR 5.355 Is the airworthiness inspection division involved in ETOPS certification?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I Att. E 3 to 5 GM Doc 9642 Part III C1	AIR 5.356 Are ETOPS requirements in compliance with ICAO provisions?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.357 Are ETOPS personnel from the air operator trained and aware of ETOPS aircraft defect verification?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.358 Is there an ETOPS manual or are these requirements included in the overall maintenance control manual?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.359 Is the airworthiness inspection division involved in the certification process?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9365 4 & 5.5	AIR 5.360 If yes, do airworthiness requirements and procedures adhere to ICAO provisions?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
	AIR 5.361 Are there operators authorized to conduct operations in navigation areas requiring specific approvals such as: 1. reduced vertical separation minimum (RVSM) ☐ Yes ☐ No 2. minimum navigation performance specifications (MNPS) ☐ Yes ☐ No 3. required navigation performance (RNP) ☐ Yes ☐ No 4. CAT I, CAT II, CAT III approach landing systems ☐ Yes ☐ No			
	AIR 5.362 If yes, is the airworthiness inspection division involved in the authorization process?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9574 (RVSM) Doc 7030 (MNPS) Doc 9613 (RNP)	AIR 5.363 If yes, do airworthiness requirements and procedures adhere to ICAO provisions?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.400 — Continuing airworthiness information				
STD A6 Part I 8.5.1	AIR 5.401 Does the State regulation require operators of aeroplanes over 5 700 kg to monitor and assess maintenance and operational experience with respect to airworthiness?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.5.2	AIR 5.402 Does the State regulation require operators of aeroplanes over 5 700 kg to obtain and assess airworthiness information from the type design organization?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
AIR 5.470 — Lease agreements, charters and interchange of aircraft				
GM Doc 8335 C10	AIR 5.471 Does the civil aviation administration permit leases between commercial air transport operators within the State? 1. dry leases ☐ Yes ☐ No 2. wet leases ☐ Yes ☐ No			
GM Doc 8335 C10	AIR 5.472 Does the civil aviation administration permit leases from other States? 1. dry leases ☐ Yes ☐ No 2. wet leases ☐ Yes ☐ No			
GM Doc 8335 10.2.3	AIR 5.473 Are the following considerations observed when determining whether or not to permit a lease? 1. airworthiness of the aircraft *and performance of* maintenance ☐ Yes ☐ No 2. signing the maintenance release ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A6 4.2.1.6 GM Doc 9642 Part VIII Doc 8335 10	AIR 5.474 How are such operations supervised?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.480 — Surveillance of operators				
A6 4.2.1.6 GM Doc 9389 7.9.1.1	AIR 5.481 Do the State regulations provide for the airworthiness inspection division to conduct continuing supervision of the operations conducted by AOC holders?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 7.9.1.4	AIR 5.482 Is a formal schedule established for conducting these inspections?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
Doc 9389 7.9.2.2	AIR 5.483 Is a formal inspection or audit procedure used for these inspections?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9389 7.9.2.2	AIR 5.484 Does the State surveillance programme ensure that random checks are carried out on all aspects of maintenance.	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 7.9.3	AIR 5.485 What procedure does the airworthiness inspection division have in place to deal with deficiencies found during inspections?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 7.9.3	AIR 5.486 What actions are taken if deficiencies are not rectified in a reasonable time?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.500 — Approval of maintenance organizations (AMO)				
A 6 Pt I 8.1.2	AIR 5.501 Is there a requirement for approval of maintenance organizations?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.502 How many approved maintenance organizations (AMOs) are there?			
GM Doc 9389 Att. 6 E	AIR 5.503 What are the procedures for approval of maintenance organizations?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.7.3.2	AIR 5.504 How does the civil aviation administration ensure that the AMO has: 1. Established a quality system to monitor compliance with and adequacy of the maintenance procedures, or 2. Provided an inspection system to ensure that all maintenance is properly performed.		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 8.7.5.1	AIR 5.505 How does the civil aviation administration ensure that the AMO employs qualified personnel to ensure compliance with the requirements and good maintenance practices?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9389 7.5.2 App. 6-E-1	AIR 5.506 Has the State developed guidelines or procedures for specialized maintenance activities such as welding of aeronautical products and non-destructive testing?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.507 Does the State authorize subcontracting of maintenance work?	☐ Yes ☐ No		
GM Doc 9642 Part IV Chap. 2 2.9	AIR 5.508 If yes, how does the civil aviation administration ensure that subcontracted work is properly controlled?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.509 Does the State validate maintenance organization approvals granted by other States?	☐ Yes ☐ No		
	AIR 5.510 If yes, what are the procedures to validate another State's approval?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.7.1.2 **GM Doc 9389 App.6 E 3**	AIR 5.511 Does the AMO approval contain all information required by ICAO provisions?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
AIR 5.520 — AMO's maintenance procedures manual				
STD A6 Part I 8.7.2	AIR 5.521 Do State regulations require that a maintenance procedures manual be submitted to the State civil aviation administration?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
STD A6 Part I 11.4 **GM Doc 9642 Part IV C2 C4 & App. B**	AIR 5.522 Are the requirements for the content of a maintenance procedures manual in accordance with ICAO provisions?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
	AIR 5.523 Does the civil aviation administration review the maintenance procedure manual to ensure that it provides users with the necessary policy guidance and instructions in a clear and concise manner?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
	AIR 5.524 Is the maintenance procedure manual approved or accepted as part of the AMO approval process?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
AIR 5.530 — AMO's facilities				
STD A6 Part I 8.7.4.1 GM Doc 9389 6 E 1 7.6 Doc 9642 Part IV Chap. 2 2.7	AIR 5.531 Does the civil aviation administration ensure that the AMO has facilities and a working environment appropriate for the task to be performed?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
	AIR 5.532 Does the civil aviation administration verify that there is: 1. adequate lighting ☐ Yes ☐ No 2. control of the environment ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.533 Does the civil aviation administration verify that instrument maintenance is performed in a dust-free environment?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A6 Part I 8.7.4.2 Doc 9642 Part IV C2 2.8	AIR 5.534 Does the civil aviation administration ensure that the AMO has the necessary equipment, tools and material?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 6 E 1 7.6.3	AIR 5.535 Does the civil aviation administration verify that precision measurement test equipment and/or precision tools are properly calibrated?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.7.4.3 GM Doc 9389 6 E 1 7.7	AIR 5.536 Does the civil aviation administration ensure that the AMO provides storage facilities for parts, tools and material?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.7.4.3	AIR 5.537 Does the civil aviation administration ensure that storage conditions provide security and prevent deterioration and damage to stored items?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.538 Does the civil aviation administration ensure that storage facilities are adequately ventilated and environmentally controlled?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
AIR 5.550 — AMO's personnel				
A6 Part I 8.7.5.4 GM Doc 9642 Part IV Chap. 2 2.5	AIR 5.551 Do AMOs have procedures for: 1. initial training ☐ Yes ☐ No 2. recurrent training ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.7.5.3 GM Doc 9389 6 E 1 7.3	AIR 5.552 Do AMOs establish minimum qualifications for: 1. managers ☐ Yes ☐ No 2. certifying staff ☐ Yes ☐ No 3. auditors ☐ Yes ☐ No 4. mechanics ☐ Yes ☐ No 5. specialized work (NDT) ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.553 Are training programmes: 1. approved ☐ Yes ☐ No 2. accepted ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.7.5.2	AIR 5.554 How does the civil aviation administration ensure that the AMO employs the necessary personnel?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.560 — AMO's records and documentation				
STD A6 Part I 8.7.4.2 GM Doc 9389 6 E 1 7.10	AIR 5.561 Does the civil aviation administration verify that the AMO possesses all necessary technical data?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A6 Part I 8.7.6.1 GM Doc 9389 6 E 1 7.9	AIR 5.562 Are maintenance records kept by AMOs?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.565 — AMO's maintenance release				
STD A6 Part I 8.7.7	AIR 5.566 Do State regulations give the requirements for: a maintenance release, the circumstances under which a maintenance release shall be made, and the persons who are entitled to sign the release?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Part I 8.7.5.3 GM Doc 9642 Part IV C2 2.6	AIR 5.567 If the State does not issue aircraft maintenance engineer licences, how does the civil aviation administration ensure that certifying staff are properly qualified?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.575 — Surveillance of AMOs				
GM Doc 9389 7.9.1.3 Doc 9389 4.2	AIR 5.576 Does the civil aviation administration's airworthiness inspection division carry out inspections of the maintenance organizations on an ongoing basis?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.577 How does the State's civil aviation administration handle inspections of facilities, which are outside its domestic jurisdiction?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 7.9.1.4	AIR 5.578 Is a formal schedule established for conducting these inspections?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
	AIR 5.579 Is a formal inspection or audit procedure used for these inspections?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.580 How frequently are inspections carried out?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 7.9.3	AIR 5.581 What procedure does the airworthiness inspection division have in place to deal with deficiencies found during inspections?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 7.9.3	AIR 5.582 Are AMOs required to rectify deficiencies within a reasonable time?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 7.9.3	AIR 5.583 What actions are taken if deficiencies are not rectified within a reasonable time?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.600 — Exchange of continuing airworthiness information				
A 8 Part II 4.2	AIR 5.601 Has the State's civil aviation administration established a system for the receipt of, adoption of, and action taken on, continuing airworthiness information?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A 8 Part II 4.2.5	AIR 5.602 Has the State's civil aviation administration established a system whereby information on faults, malfunctions and defects is transmitted to the organization responsible for the design of the aircraft?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
	AIR 5.603 Has the State's civil aviation administration established a mandatory reporting system for the reporting of defects mentioned above?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.650 — Accident/incident investigation				
Annex 13 Doc 6920	AIR 5.651 How are aircraft accidents/incidents investigated and followed up?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.652 Are investigations performed by qualified technical personnel?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.653 Are reports kept and are the lessons learned disseminated?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.660 — Status of implementation and differences to ICAO SARPs				
CC Art. 37	AIR 5.661 Is there a procedure for implementing amendments to airworthiness SARPs of Annex 6 (Chapters 8 and 11) and Annex 8, and for the listing of differences?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Article 38	AIR 5.662 Was ICAO notified of those differences?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
CC Article 38	AIR 5.663 What is the real status of differences? (Refer to the AIR Section of the Pre-audit Questionnaire.)		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
CC Article 38	AIR 5.664 Are there differences between the provisions of the national airworthiness regulations and ICAO Annex 6 (Chapters 8 and 11)?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.700 — Aircraft engineering/manufacturing certification and surveillance — Regulatory background				
GM Doc 8335 1.2.1 & 1.2.2	AIR 5.701 Has the State developed and promulgated airworthiness regulations to enable the State to implement the provisions of Annex 8?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 8335 1.2.1 & 1.2.2	AIR 5.702 If yes, what is the formal title of the regulations and when were they promulgated? (List all the regulations related to aircraft engineering/ manufacturing.)			
AIR 5.710 — Organization and staffing of aircraft engineering/manufacturing system — Airworthiness engineering division (AED)				
GM Doc 9389 C3	AIR 5.711 Has an airworthiness engineering division (AED) been established?	☐ Yes ☐ No		
	AIR 5.712 If no AED has been established, how and to whom has the airworthiness engineering responsibility been assigned?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.713 Is engineering work delegated to: 1. other CAA divisions ☐ Yes ☐ No 2. other State bodies ☐ Yes ☐ No 3. regional organizations ☐ Yes ☐ No 4. private agencies ☐ Yes ☐ No 5. designated engineers ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 2.2.3	AIR 5.714 If yes to 1), 2) 3) 4) or 5), what is the relationship with AED?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9389 2.2.3	AIR 5.715 If yes to 1), 2), 3), 4) or 5), how does the AED ensure control and oversight?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.716 If yes to 5), what are the requirements and procedures for designation?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.717 How many airworthiness engineers are there? 1. large aeroplanes 2. small aeroplanes 3. helicopters 4. engines/propulsion 5. systems and equipment 6. avionics 7. total		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.718 How many flights test pilots/engineers are there? Pilots / Engineers 1. large aeroplanes 2. small aeroplanes 3. helicopters 4. total		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 3.3.1	AIR 5.719 Are there minimum qualifications for: 1. airworthiness engineers ☐ Yes ☐ No 2. flight test engineers ☐ Yes ☐ No 3. flight test pilots ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 3.3.1	AIR 5.720 If yes, what are the minimum qualifications/ experience required for: 1. airworthiness engineers 2. flight test engineers 3. flight test pilots		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9389 3.3.2	AIR 5.721 Are AED personnel provided with: 1. introductory training ☐ Yes ☐ No 2. recurrent training ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.722 What is the subject of the training?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 3.3.2	AIR 5.723 Who is providing the training and where is it given?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 3.3.2	AIR 5.724 Are training records kept and available?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.725 Is there a formal handbook for the use and guidance of members of the airworthiness engineering division?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.726 Does this handbook provide guidance for airworthiness engineers to carry out their duties on: 1. approval of design organizations ☐ Yes ☐ No 2. issue of type certificates ☐ Yes ☐ No 3. approval of production organizations ☐ Yes ☐ No 4. approval of modifications and repairs ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
	AIR 5.727 What is the administrative staffing of the AED?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.728 What is the office equipment of the AED? 1. phone ☐ Yes ☐ No 2. fax ☐ Yes ☐ No 3. computers ☐ Yes ☐ No 4. microfiche reader ☐ Yes ☐ No 5. microfilm reader ☐ Yes ☐ No 6. Internet/intranet ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.729 Is the State involved in design or manufacturing activities?	☐ Yes ☐ No		
GM Doc 9389 1.2.8	AIR 5.730 If yes, is there a clear separation of authority between the State involved in manufacturing/design and the State as an airworthiness regulatory authority?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.740 — Delegation of authority				
	AIR 5.741 Has the State ensured that sufficient legal authority has been delegated to the level of engineers to allow them to execute their mandate?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.742 Has the State published an official delegation of authority document?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.750 — Design organizations				
	AIR 5.751 Are aeronautical products designed/ manufactured in the State?	☐ Yes ☐ No		

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
	AIR 5.752 How may design organizations are under the jurisdiction of the State: 1. large aeroplanes ☐ 2. small aeroplanes ☐ 3. helicopters ☐ 4. others ☐ 5. total ☐			
	AIR 5.753 Does the State issue design organization approvals?	☐ Yes ☐ No		
	AIR 5.754 If yes, how many design organizations have been approved? 1. large aeroplanes ☐ 2. small aeroplanes ☐ 3. helicopters ☐ 4. others ☐ 5. total ☐			
	AIR 5.755 If yes, what are the requirements and procedures for approval?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 4.2.6(a)	AIR 5.756 Is there a system to receive information on faults, malfunctions, defects and other occurrences for aeronautical products designed in the State?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9642 Part VI C1 2.4	AIR 5.757 Are design organizations required to have a system for receiving continuing airworthiness information from operators and providing necessary guidance?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 4.2.6 b,c,d	AIR 5.758 What are the procedures for deciding if airworthiness action is needed, developing the necessary airworthiness actions, and promulgating associated information?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
STD A8 Part II 4.2.2	AIR 5.759 Does the State transmit mandatory continuing airworthiness information to: 1. States of registry ☐ Yes ☐ No 2. other Contracting States on demand ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.760 — Type design approval				
STD A8 Part II 2.2	AIR 5.761 Has the State issued a comprehensive and detailed national airworthiness code?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 2.2	AIR 5.762 What is the formal title of the State airworthiness code adopted?			
GM Doc 9051 Part II 2.1	AIR 5.763 Does the State issue type certificates?	☐ Yes ☐ No		
	AIR 5.764 If yes, how many type certificates have been issued: 1. large aeroplanes ☐ 2. small aeroplanes ☐ 3. helicopters ☐ 4. others ☐ 5. total ☐			
GM Doc 9389 5.6, 5 A	AIR 5.765 Is a type certificate data sheet (TCDS) attached to the type certificate?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 5.2	AIR 5.766 What are the procedures for approval of the type design?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9389 5.5 & 5.6	AIR 5.767 Verify type certificates and type certificate data sheets for content.		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 3.1.1	AIR 5.768 Does the AED keep proof of compliance of the type design with appropriate airworthiness requirements: 1. compliance checklist ☐ Yes ☐ No 2. calculation reports ☐ Yes ☐ No 3. test reports ☐ Yes ☐ No 4. other (specify) ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.769 Does the AED keep copies of documents issued: 1. type certificate (TC) ☐ Yes ☐ No 2. type certificate data sheet (TCDS) ☐ Yes ☐ No 3. supplemental type certificate (STC) ☐ Yes ☐ No 4. modifications and repairs approval ☐ Yes ☐ No		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 5.2.3 (l) Doc 9642 Pt V 3.3 (e)	AIR 5.770 Does the AED have procedures to ensure AID involvement in the determination of instructions for continued airworthiness for an aeronautical product?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
Doc 9389 Att. 3C	AIR 5.771 If a Maintenance Review Board Report will be established, are the airworthiness inspection division (AID) and the airworthiness engineering division (AED) involved in the maintenance review board process?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A8 Part II 2.2	AIR 5.772 Has the State adopted the airworthiness code of another State? If yes, what is the title?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9389 5.10	AIR 5.773 Does the State validate type certificates issued by other States?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.774 If no, does the State have procedures for issue of a first of a type certificate of airworthiness?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A8 GM Doc 9389 5.10	AIR 5.775 What are the requirements and procedures for validation of a type certificate or issue of a first of a type certificate of airworthiness?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A6 Pt I 6.13 A16 Pt II Chap. 1	AIR 5.776 Does the State have a requirement for all aeroplanes to comply with noise certification standards in Annex 16, Volume 1, and to carry on board an aircraft a document (or a suitable statement) attesting to noise certification?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A16 Pt II 1.2	AIR 5.777 Does the State have procedures for the granting or validation of a noise certificate on the basis of satisfactory evidence that the aircraft complies with requirements at least equivalent to those included in Annex 16?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
A8 Pt III 9.3.5	AIR 5.778 Has the State of design advised the type certificate (TC) holder of the requirement to provide all operators with information concerning a least risk bomb location, to be incorporated in the flight manual?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
STD A6 Pt I 8.6	AIR 5.779 Is there a requirement for the approval of modifications and repairs?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9642 Pt V	AIR 5.780 What are the procedures for the approval of modifications and repairs?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
	AIR 5.781 Does the State issue amendments or supplements to the type certificate?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 5.7 & 5.8	AIR 5.782 If yes, what are the procedures used?		☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
GM Doc 9389 5.7.1	AIR 5.783 Does the authority keep files related to the design approval of supplemental type certificates (STCs), modifications and repairs?	☐ Yes ☐ No	☐ Satisfactory ☐ Not satisfactory ☐ Not implemented ☐ Not applicable ☐ Not audited	
AIR 5.800 — Certificate of airworthiness — Production				
	AIR 5.801 Are there companies under the State jurisdiction engaged in the production of aeronautical products?	☐ Yes ☐ No		
	AIR 5.802 Is the production: 1. original design ☐ Yes ☐ No 2. under licence ☐ Yes ☐ No			
	AIR 5.803 How many production organizations are there?			
GM Doc 9389 5.9.1	AIR 5.804 Does the State issue production approval?	☐ Yes ☐ No		

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ICAO ref.	*Aspects to be audited or questions to be answered*	*Status*	*Implementation as applicable*	*Comments*
GM Doc 9389 5.9	AIR 5.805 If production organizations are approved, what are the requirements and procedures for production approval?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9389 5.9	AIR 5.806 If production organizations are not approved, what are the procedures for surveillance of production activities?		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9389 5.9.2 (d)	AIR 5.807 Does the State require production approval certificate holders to submit a manual that describes the production inspection system and quality control?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
AIR 5.810 — Import and export certification requirements				
GM Doc 9389 6.3	AIR 5.811 Does the State issue an export certificate of airworthiness (for aircraft)? If yes, verify its content and procedures for issuance.	❑ Yes ❑ No		
GM Doc 9389 6.3.5	AIR 5.812 Does the State's civil aviation administration advise the air operator that the export certificate of airworthiness (for aircraft) is not an authorization to fly?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
GM Doc 9389 6.3.2 6.3.3	AIR 5.813 Does the State have special requirements and/or special conditions for imported aircraft to the country?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
	AIR 5.814 If yes, does the civil aviation administration of the exporting State wishing to issue an export certificate of airworthiness have easy access to these special requirements?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	

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ICAO ref.	Aspects to be audited or questions to be answered	Status	Implementation as applicable	Comments
AIR 5.850 — Status of implementation and differences to ICAO SARPs				
CC Art. 37	AIR 5.851 Is there a procedure for implementing amendments to airworthiness SARPs of Annex 8 and for the listing of differences?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
CC Article 38	AIR 5.852 Was ICAO notified of those differences?	❑ Yes ❑ No	❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	
CC Article 38	AIR 5.853 What is the real status of differences? (Refer to the AIR Section of the Pre-audit Questionnaire.)		❑ Satisfactory ❑ Not satisfactory ❑ Not implemented ❑ Not applicable ❑ Not audited	

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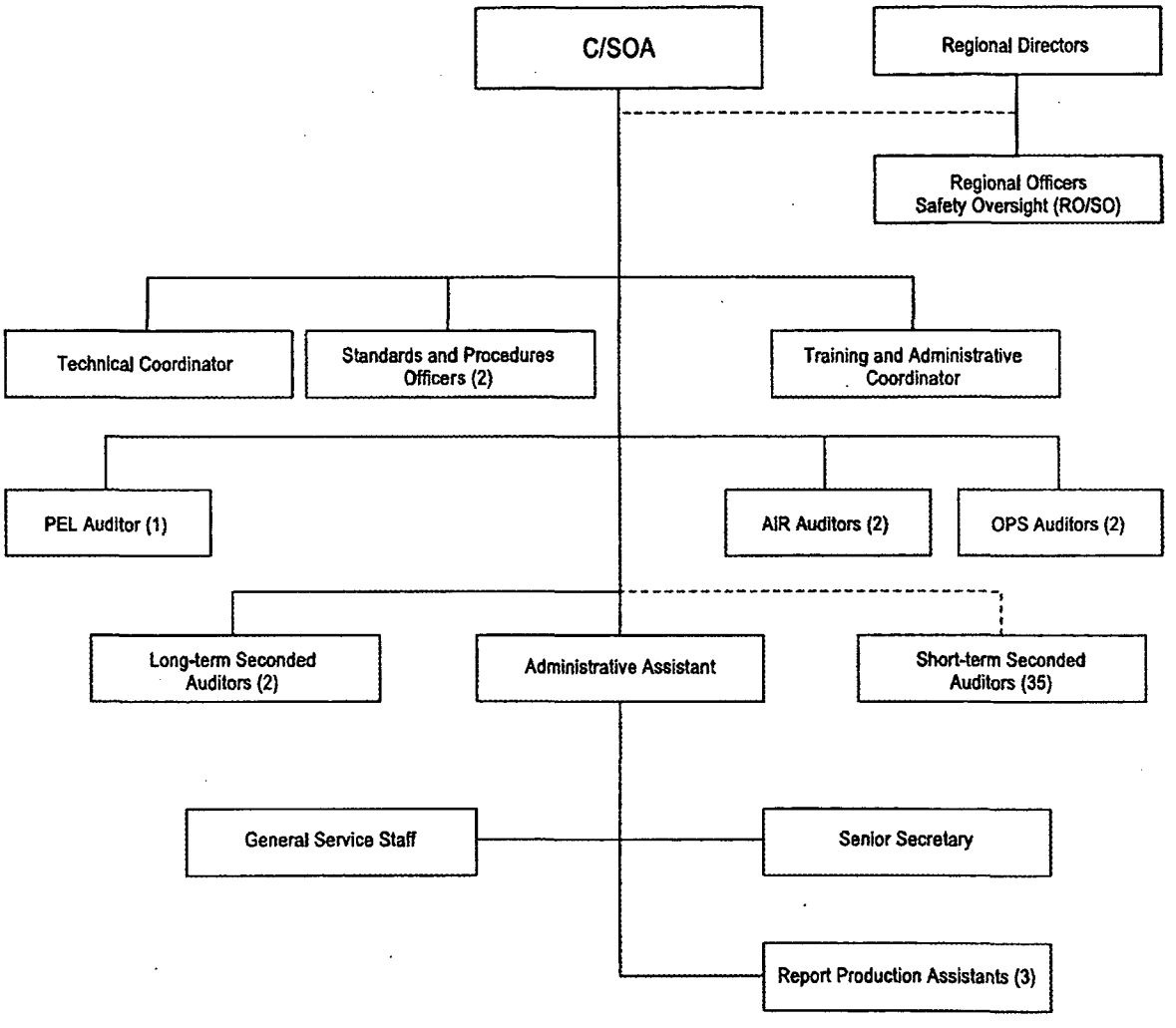
Appendix A
Safety Oversight Audit Section (SOA) — Organizational Structure



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Appendix B
Sample Memorandum of Understanding (MOU)

Memorandum of Understanding (MOU) between State [long name] and the International Civil Aviation Organization (ICAO) Regarding Safety Oversight Audit

Whereas the 32nd Assembly of ICAO in Assembly Resolution A32-11 directed the Council to establish the ICAO Universal Safety Oversight Audit Programme, providing for regular, mandatory, systematic and harmonized safety audits to be carried out by ICAO, that such universal safety oversight programme shall apply to all Contracting States, and that greater transparency and increased disclosure be implemented in the release of audit results;

Whereas the 32nd Assembly urged all Contracting States to agree to audits to be carried out upon ICAO's initiative, but always with the consent of the State to be audited, by signing a bilateral Memorandum of Understanding with the Organization;

IT IS AGREED AS FOLLOWS:

. In accordance with Assembly Resolution A32-11, State [long name], hereafter referred to as State [abbreviated name], hereby agrees to the conduct of a safety oversight audit by an ICAO safety oversight audit team, on the dates established by ICAO as published in its yearly schedule of audits, unless justified reasons lead the parties to mutually agree on other dates.

. No change in the annual schedule of audits will be allowed within sixty calendar days prior to the starting date of the audit of the State, except for a compelling reason, which must be submitted to the President of the ICAO Council for his consideration.

. The ICAO Regional Office accredited to State [abbreviated name] will be actively involved in the safety oversight audit process.

. The safety oversight audit team will be comprised of experts in the fields of personnel licensing, flight operations, airworthiness or any other related discipline that might be required for the audit. The composition of the team (names and qualifications) will be provided to the civil aviation administration of the State prior to the safety oversight audit.

. The team members will have command of one of the ICAO languages and good working knowledge of English. At least one of the team members will have command of the ICAO language chosen by the State. State [abbreviated name] will be informed of the other specific language capabilities of each team member prior to the audit.

. State [abbreviated name] agrees to facilitate the audit by making appropriate staff from its Civil Aviation Authority (or any relevant entity responsible for safety regulation), locally based commercial air transport operators and aerodrome facilities, available for interview by the safety oversight audit team. State [abbreviated name] will be required to take the necessary measures to facilitate the work of the safety oversight audit team, including interpretation services, local transportation, interviews, paperwork, etc. State [abbreviated name] will also arrange and meet the cost of transportation and accommodation when visits are required outside the main administrative office.

. The safety oversight audit team will review State [abbreviated name] compliance with the Standards and Recommended Practices (SARPs) set out in Annexes 1, 6 and 8, as well as with related procedures, and adherence to guidance material and relevant safety-related practices in general use in the aviation industry, as referred to in such material. The safety oversight audit team will also review whether State [abbreviated name] has the organizational structure with the legal status necessary to carry out its safety oversight responsibilities. State [abbreviated name] agrees to make all relevant documents, files and information available to the safety oversight audit team.

. The safety oversight audit team will review the State's regulatory provisions, examine records and documentation and conduct interviews, in order to make its findings and recommendations, on the basis of safety oversight audit general requirements, as follows:

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a) consideration of existing national legislation enabling States to enforce the provisions of the Convention on International Civil Aviation;

b) consideration of existing national regulations enabling States to carry out detailed safety regulation in support of the Convention on International Civil Aviation and Annexes 1, 6 and 8 thereto and related provisions in other Annexes, as well as associated ICAO procedures, guidance material and relevant safety-related practices in general use in the aviation industry as referred to in such material;

c) a system for both the certification and the continued surveillance of personnel, aircraft and operators, to ensure that the relevant SARPs are maintained, in particular with respect to:

i) qualified airworthiness and flight operations inspectors and licensing personnel supported by an appropriate organizational and managerial structure;

ii) detailed records of training given to airworthiness inspectors, flight operations inspectors and licensing personnel;

iii) policy on the safety regulation of maintenance, flight operations and licensing;

iv) availability of appropriate reference material, including ICAO documentation;

v) information on which ICAO SARPs have been used for approval of air operator certificate (AOC) holders or maintenance organizations;

vi) inspection results containing details of technical and operational deficiencies;

vii) evidence of compliance with airworthiness directives (ADs) and of adherence to approved maintenance programmes;

viii) evidence of procedures for the issuance, approval, suspension and revocation of licences, AOCs and Certificates of Airworthiness (CofAs) when unsafe conditions are identified and records of how often action has been taken;

ix) evidence that major modifications to aircraft have been properly approved and that relevant information has been duly transmitted to the State of registry, the State of manufacture and the State of design, as applicable; and

x) evidence of overall system safety awareness and of a mechanism for accident prevention; and

d) implementation of ICAO SARPs and procedures, as well as adherence to guidance material and relevant safety-related practices in general use in the aviation industry as referred to in such material, related to the certification and supervision of the operator, in particular with respect to the requirements of an adequate organization, method of control and supervision of flight operations, training programmes and maintenance arrangements consistent with the nature and extent of the operations specified.

State [abbreviated name] agrees to make all relevant documents, files and information available to the safety oversight audit team.

9. On the last day of the safety oversight audit, the ICAO safety oversight audit team will give a detailed debriefing on the audit results to government officials as well as senior management and other higher officials, as applicable, of the Civil Aviation Authority (CAA) of the State, including an explanation of subsequent activities in the audit process. Before departing the State, the audit team will also provide the CAA with a list of preliminary findings and recommendations, and with general guidelines for the preparation of an action plan, so that the State may be in a position to begin work immediately on its action plan.

10. Upon completion of the safety oversight audit, ICAO undertakes to make available to State [abbreviated name] a confidential interim report within thirty calendar days after the last day of the audit, if no translation of the report into another ICAO language is required. If such a translation is required, a translated copy will be made available within an additional thirty working days. The confidential interim report will detail:

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a) findings on the general requirements specified in paragraph 8 above;

b) differences which exist between national regulations and practices of State [abbreviated name] and ICAO SARPs;

c) lack of implementation or non-compliance with ICAO SARPs and related procedures;

d) adherence to guidance material and relevant safety-related practices in general use in the aviation industry, as referred to in such material; and

e) recommendations of the ICAO safety oversight audit team for immediate remedial action.

11. Should action be necessary to remedy deficiencies, State [abbreviated name] undertakes to start working on the preparation of an appropriate action plan immediately after State [abbreviated name] has been debriefed on the audit and provided with a list of findings and recommendations by the safety oversight audit team, as described in paragraph 9 above. Feedback on the development of the action plan by State [abbreviated name] will be provided by ICAO at the request of the State during the preparation period.

12. Should action be necessary to remedy deficiencies, State [abbreviated name] undertakes to provide, within thirty calendar days from the date the interim report has been made available to the State, an action plan acceptable to the ICAO Secretary General. The action plan should address the findings and recommendations of the safety oversight audit team, providing specific actions and deadlines for the correction of the deficiencies identified during the safety oversight audit. If the interim report requires translation, the time line for the production of an action plan starts when the State receives the translated interim report. All subsequent actions will be sequenced accordingly.

13. Within thirty calendar days after State [abbreviated name] has submitted an action plan, officials from the ICAO accredited Regional Office may conduct a preliminary review to determine the progress made by State [abbreviated name] towards activation of the action plan. If no action plan has been submitted, the ICAO accredited Regional Office will contact State [abbreviated name] to determine why an action plan has not been submitted.

14. After the preliminary review has been conducted by the ICAO accredited Regional Office, a confidential final report will be completed by ICAO and made available to State [abbreviated name] within thirty calendar days if no translation of the report into another ICAO language is required, or within an additional thirty working days if such translation is required.

15. In addition to the information contained in the interim report, as detailed in paragraph 10 above, the final report will include a comprehensive analysis by ICAO of the action plan submitted by State [abbreviated name], as well as information on the progress made by State [abbreviated name] on the implementation of the action plan and on any remedied deficiencies and outstanding differences to ICAO SARPs. If no acceptable action plan is provided in accordance with paragraph 12 above, ICAO will issue the confidential final safety oversight audit report. This report will contain the deficiencies identified during the audit, the status of implementation and/or differences from ICAO SARPs and procedures, as well as adherence by State [abbreviated name] to guidance material and relevant safety-related practices in general use in the aviation industry, as referred to in such material. Mention will also be made of the failure of the State to submit an action plan to ICAO.

16. Safety oversight interim and final reports will be confidential and made available to State [abbreviated name] and the accredited ICAO Regional Office only. Concurrently with the preparation of the final report, a non-confidential summary report containing an abstract of the overall findings and recommendations of the safety oversight audit team, of the actions proposed by State [abbreviated name] to remedy the identified deficiencies, if any, and of the progress made on the implementation of the action plan will be provided to the State. State [abbreviated name] will be given twenty-one calendar days to provide its comments on the final and the summary reports, after which the summary report will be made available to other Contracting States.

17. The obligations and responsibilities for notifying to ICAO any difference or non-compliance with Standards contained in any ICAO Annex shall rest with State [abbreviated name]. Differences which exist between the national regulations and practices of State [abbreviated name] and ICAO Standards, which have been identified during the course of the safety oversight audit, and which will continue to exist when the final report is issued, shall be deemed to have been notified to ICAO by State [abbreviated name]. ICAO will incorporate these differences in the Supplements to the appropriate Annexes and in any other relevant ICAO safety-related publication.

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18. State [abbreviated name] undertakes to remedy the identified deficiencies, and also agrees to any other subsequent safety oversight audit follow-up in due course, to confirm that the recommendations made by ICAO to State [abbreviated name] have been implemented as provided for in the action plan. Such audit follow-ups will lead to the production of a confidential audit follow-up report and a non-confidential audit follow-up summary report providing an updated status on the safety oversight situation in State [abbreviated name]. The latter will be given twenty-one calendar days to provide its comments on these reports, after which the audit follow-up summary report will be made available to other Contracting States.

19. If requested by State [abbreviated name], direct assistance may be provided by ICAO through its Technical Co-operation Bureau (TCB) in the development of a document which may serve as an action plan as referred to in paragraphs 11 and 12 of this MOU. This document would include all necessary details on time frame, costing, as well as personnel and training requirements as a basis for seeking funding from donor organizations and/or financial institutions for the implementation of a safety oversight improvement project. This document would need to be funded by State [abbreviated name], on a cost recovery basis, and would be completed within the time limits specified in paragraph 12 above.

20. Any difference or dispute concerning the interpretation or the application of this Memorandum of Understanding will be resolved by negotiation between the parties concerned.

For the Civil Aviation Authority of State [long name]	**For the International Civil Aviation Organization**
_____	_____
Director General	Secretary General
_____	_____
Date	Date

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Appendix C
Reporting Forms

A reporting form should be completed for each audit finding (see Chapter 5, Section 5.11). The following pages contain examples of the forms used to report findings and recommendations in the areas of:

- Primary aviation legislation and civil aviation regulations;
- Civil aviation organization system;
- Personnel licensing and training;
- Aircraft operations certification and supervision; and
- Airworthiness of aircraft.

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APPENDIX 1 TO THE AUDIT INTERIM REPORT

FINDINGS AND RECOMMENDATIONS RELATING TO PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

State: [Name of State] **Audit period:** [Date of audit]	**Finding and Recommendation Number** **LEG / XX**
Document reference: [references]	**Audit protocol reference:** LEG -X.XXX

Type of finding:

- ☐ **Non-compliance with Chicago Convention or State Regulations**
- ☐ **Non-conformance with Annex Standards**
- ☐ **Non-adherence to Annex Recommended Practices**
- ☐ **Non-adherence to guidance material**
- ☐ **Non-adherence to relevant safety related practices**

FINDING:

RECOMMENDATION:

Auditor:	[Name]	**Date:**	[Audit date]
Team Leader:	[Name]		

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APPENDIX 2 TO THE AUDIT INTERIM REPORT

FINDINGS AND RECOMMENDATIONS RELATING TO THE CIVIL AVIATION ORGANIZATION SYSTEM

State: [Name of State] **Audit period:** [Date of audit]	**Finding and Recommendation Number** **ORG / XX**
Document reference: [references]	**Audit protocol reference:** ORG -X.XXX
Type of finding: ☐ **Non-compliance with Chicago Convention or State Regulations** ☐ **Non-conformance with Annex Standards** ☐ **Non-adherence to Annex Recommended Practices** ☐ **Non-adherence to guidance material** ☐ **Non-adherence to relevant safety related practices**	
FINDING:	
RECOMMENDATION:	
Auditor: [Name]	**Date:** [Audit date]
Team Leader: [Name]	

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APPENDIX 3 TO THE AUDIT INTERIM REPORT

FINDINGS AND RECOMMENDATIONS RELATING TO PERSONNEL LICENSING AND TRAINING

State: [Name of State] **Audit period:** [Date of audit]	**Finding and Recommendation Number** **PEL / XX**
Document reference: [references]	**Audit protocol reference:** PEL -X.XXX

Type of finding:

- ☐ **Non-compliance with Chicago Convention or State Regulations**
- ☐ **Non-conformance with Annex Standards**
- ☐ **Non-adherence to Annex Recommended Practices**
- ☐ **Non-adherence to guidance material**
- ☐ **Non-adherence to relevant safety related practices**

FINDING:

RECOMMENDATION:

Auditor:	[Name]	**Date:**	[Audit date]
Team Leader:	[Name]		

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APPENDIX 4 TO THE AUDIT INTERIM REPORT

FINDINGS AND RECOMMENDATIONS RELATING TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

State: [Name of State] **Audit period:** [Date of audit]	**Finding and Recommendation Number** **OPS / XX**
Document reference: [references]	**Audit protocol reference:** OPS -X.XXX
Type of finding: ☐ **Non-compliance with Chicago Convention or State Regulations** ☐ **Non-conformance with Annex Standards** ☐ **Non-adherence to Annex Recommended Practices** ☐ **Non-adherence to guidance material** ☐ **Non-adherence to relevant safety related practices**	
FINDING:	
RECOMMENDATION:	
Auditor: [Name]	**Date:** [Audit date]
Team Leader: [Name]	

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APPENDIX 5 TO THE AUDIT INTERIM REPORT

FINDINGS AND RECOMMENDATIONS RELATING TO AIRWORTHINESS OF AIRCRAFT

State: [Name of State] **Audit period:** [Date of audit]	**Finding and Recommendation Number** **AIR / XX**
Document reference: [references]	**Audit protocol reference:** AIR -X.XXX
Type of finding: ☐ **Non-compliance with Chicago Convention or State Regulations** ☐ **Non-conformance with Annex Standards** ☐ **Non-adherence to Annex Recommended Practices** ☐ **Non-adherence to guidance material** ☐ **Non-adherence to relevant safety related practices**	
FINDING:	
RECOMMENDATION:	
Auditor: [Name]	**Date:** [Audit date]
Team Leader: [Name]	

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Appendix D
Reporting Forms on the Status of Implementation or Differences to SARPs

A reporting form should be completed concerning the status of implementation and differences to SARPs. (See Chapter 6, Section 6.1.1). The following pages contain examples of the form used to report the status of implementation and differences to SARPs in the following areas:

Annex 1 - Personnel licensing

Annex 6 - Operation of aircraft

Annex 8 - Airworthiness of aircraft

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APPENDIX 6-A TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO STANDARDS

(ANNEX 1 —PERSONNEL LICENSING)

ICAO Standard reference	State's regulations reference	Differences between the national regulations of [State] and ICAO Standards

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APPENDIX 7-A TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO RECOMMENDED PRACTICES

(ANNEX 1 — PERSONNEL LICENSING)

Note: *— The Chicago Convention requires that a Contracting State file differences existing between its regulations and ICAO Annex Standards. However, due to the specific mandate given to ICAO for the implementation of the ICAO universal safety oversight audit programme, it is necessary to include differences existing between the national regulations and ICAO Annex Recommendations, including Annex definitions, to encourage implementation and for inclusion in the summary report. Differences with Annex Recommended Practices will not be included in the Supplement to the relevant Annex if they should remain unimplemented by the time the final report is published.*

ICAO RPs reference	State's regulations reference	Differences between the national regulations of [State] and Annex Recommended Practices

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APPENDIX 6B-1 TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO STANDARDS

(ANNEX 6 — OPERATION OF AIRCRAFT)
(PART I — International Commercial Air Transport - Aeroplane)

ICAO Standard reference	State's regulations reference	Differences between the national regulations of [State] and ICAO Standards

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APPENDIX 6B-2 TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO STANDARDS

(ANNEX 6 — OPERATION OF AIRCRAFT)
(PART II — International General Aviation - Aeroplane)

ICAO Standard reference	State's regulations reference	Differences between the national regulations of [State] and ICAO Standards

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APPENDIX 6B-3 TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO STANDARDS

(ANNEX 6 — OPERATION OF AIRCRAFT)
(PART III — International Operations - Helicopters)

ICAO Standard reference	State's regulations reference	Differences between the national regulations of [State] and ICAO Standards

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APPENDIX 7-B1 TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO RECOMMENDED PRACTICES

(ANNEX 6 — OPERATION OF AIRCRAFT)
(PART I — International Commercial Air Transport - Aeroplane)

Note: — The Chicago Convention requires that a Contracting State file differences existing between its regulations and ICAO Annex Standards. However, due to the specific mandate given to ICAO for the implementation of the ICAO universal safety oversight audit programme, it is necessary to include differences existing between the national regulations and ICAO Annex Recommendations, including Annex definitions, to encourage implementation and for inclusion in summary report. Differences with Annex Recommended Practices will not be included in the Supplement to the relevant Annex if they should remain unimplemented by the time the final report is published.

ICAO RPs reference	State's regulations reference	Differences between the national regulations of [State] and Annex Recommended Practices

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APPENDIX 7-B2 TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO RECOMMENDED PRACTICES

(ANNEX 6 — OPERATION OF AIRCRAFT)
(PART II — International General Aviation - Aeroplane)

Note: — The Chicago Convention requires that a Contracting State file differences existing between its regulations and ICAO Annex Standards. However, due to the specific mandate given to ICAO for the implementation of the ICAO universal safety oversight audit programme, it is necessary to include differences existing between the national regulations and ICAO Annex Recommendations, including Annex definitions, to encourage implementation and for inclusion in the summary report. Differences with Annex Recommended Practices will not be included in the Supplement to the relevant Annex if they should remain unimplemented by the time the final report is published.

ICAO RPs reference	State's regulations reference	Differences between the national regulations of [State] and Annex Recommended Practices

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APPENDIX 7-B3 TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO RECOMMENDED PRACTICES

(ANNEX 6 — OPERATION OF AIRCRAFT)
(PART III — International Operations - Helicopter)

Note: — The Chicago Convention requires that a Contracting State file differences existing between its regulations and ICAO Annex Standards. However, due to the specific mandate given to ICAO for the implementation of the ICAO universal safety oversight audit programme, it is necessary to include differences existing between the national regulations and ICAO Annex Recommendations, including Annex definitions, to encourage implementation and for inclusion in the summary report. Differences with Annex Recommended Practices will not be included in the Supplement to the relevant Annex if they should remain unimplemented by the time the final report is published.

ICAO RPs reference	State's regulations reference	Differences between the national regulations of [State] and Annex Recommended Practices

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APPENDIX 6-C TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO STANDARDS

(ANNEX 8 — AIRWORTHINESS OF AIRCRAFT)

ICAO Standard reference	State's regulations reference	Differences between the national regulations of [State] and ICAO Standards

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APPENDIX 7-C TO THE AUDIT INTERIM REPORT

STATUS OF DIFFERENCES TO ICAO RECOMMENDED PRACTICES

(ANNEX 8 — AIRWORTHINESS OF AIRCRAFT)

Note: — The Chicago Convention requires that a Contracting State file differences existing between its regulations and ICAO Annex Standards. However, due to the specific mandate given to ICAO for the implementation of the ICAO universal safety oversight audit programme, it is necessary to include differences existing between the national regulations and ICAO Annex Recommendations, including Annex definitions, to encourage implementation and for inclusion in the summary report. Differences with Annex Recommended Practices will not be included in the Supplement to the relevant Annex if they should remain unimplemented by the time the final report is published.

ICAO RPs reference	State's regulations reference	Differences between the national regulations of [State] and Annex Recommended Practices

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Appendix E
Audit Follow-up Reporting Forms

Audit follow-up reporting forms should be completed for each audit finding (see Chapter 6A, Section 6A.1.1). The following pages contain samples of the forms used to report the results of an audit follow-up to determine the status of implementation of the State's corrective action plan in each area, as follows:

- Primary aviation legislation and civil aviation regulations (Form E-1);
- Civil aviation organization system (Form E-2);
- Personnel licensing and training (Form E-3);
- Aircraft operations certification and supervision (Form E-4);
- Airworthiness of aircraft (Form E-5).

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FORM E-1

STATUS OF IMPLEMENTATION OF THE STATE'S CORRECTIVE ACTION PLAN RELATING TO PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

State: [Name of State] **Audit period:** [Dates of the audit] **Audit follow-up period:** [Dates of the audit follow-up]	**Finding and Recommendation No.: LEG/01** **Audit protocol reference: LEG-X.XXX**
FINDING:	
RECOMMENDATION:	
CORRECTIVE ACTION AS PUBLISHED IN THE AUDIT FINAL REPORT DATED:	
CORRECTIVE ACTION IMPLEMENTATION AND STATUS (to be completed by the auditor):	
Closed: ☐ **Open:** ☐	**Target completion date:**
Auditor: [Name]	**Date:** [Date]
Team Leader: [Name]	

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FORM E-2

STATUS OF IMPLEMENTATION OF THE STATE'S CORRECTIVE ACTION PLAN RELATING TO THE CIVIL AVIATION ORGANIZATION SYSTEM

State: [Name of State] **Audit period:** [Dates of the audit] **Audit follow-up period:** [Dates of the audit follow-up]	**Finding and Recommendation No.: ORG/01** **Audit protocol reference: ORG-X.XXX**
FINDING:	
RECOMMENDATION:	
CORRECTIVE ACTION AS PUBLISHED IN THE AUDIT FINAL REPORT DATED:	
CORRECTIVE ACTION IMPLEMENTATION AND STATUS (to be completed by the auditor):	
Closed: ☐ **Open:** ☐	**Target completion date:**
Auditor: [Name]	**Date:** [Date]
Team Leader: [Name]	

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FORM E-3

STATUS OF IMPLEMENTATION OF THE STATE'S CORRECTIVE ACTION PLAN RELATING TO PERSONNEL LICENSING AND TRAINING

State: [Name of State] **Audit period:** [Dates of the audit] **Audit follow-up period:** [Dates of the audit follow-up]	**Finding and Recommendation No.: PEL/01** **Audit protocol reference: PEL-X.XXX**
FINDING:	
RECOMMENDATION:	
CORRECTIVE ACTION AS PUBLISHED IN THE AUDIT FINAL REPORT DATED:	
CORRECTIVE ACTION IMPLEMENTATION AND STATUS (to be completed by the auditor):	
Closed: ☐ **Open:** ☐	**Target completion date:**
Auditor: [Name]	**Date:** [Date]
Team Leader: [Name]	

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FORM E-4

STATUS OF IMPLEMENTATION OF THE STATE'S CORRECTIVE ACTION PLAN RELATING TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

State: [Name of State] **Audit period:** [Dates of the audit] **Audit follow-up period:** [Dates of the audit follow-up]	**Finding and Recommendation No.: OPS/01** **Audit protocol reference: OPS-X.XXX**
FINDING:	
RECOMMENDATION:	
CORRECTIVE ACTION AS PUBLISHED IN THE AUDIT FINAL REPORT DATED:	
CORRECTIVE ACTION IMPLEMENTATION AND STATUS (to be completed by the auditor):	
Closed: ☐ **Open:** ☐	**Target completion date:**
Auditor: [Name]	**Date:** [Date]
Team Leader: *[Name]*	

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FORM E-5

STATUS OF IMPLEMENTATION OF THE STATE'S CORRECTIVE ACTION PLAN RELATING TO AIRWORTHINESS OF AIRCRAFT

State: [Name of State] **Audit period:** [Dates of the audit] **Audit follow-up period:** [Dates of the audit follow-up]	**Finding and Recommendation No.: AIR/01** **Audit protocol reference: AIR-X.XXX**
FINDING:	
RECOMMENDATION:	
CORRECTIVE ACTION AS PUBLISHED IN THE AUDIT FINAL REPORT DATED:	
CORRECTIVE ACTION IMPLEMENTATION AND STATUS (to be completed by the auditor):	
Closed: ☐ **Open:** ☐	**Target completion date:**
Auditor: [Name]	**Date:** [Date]
Team Leader: [Name]	

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Appendix F
USOAP/AFDD Audit Follow-up Checklists

Audit follow-up checklists should be completed for each audit finding (see Chapter 6A, Section 6A.1.1). The following pages contain samples of the USOAP/AFDD audit follow-up checklists used to report the results of an audit follow-up related to validation of the status of implementation of the State's corrective action plan in each area, as follows:

- Primary aviation legislation and civil aviation regulations (Form F-1);
- Civil aviation organization system (Form F-2);
- Personnel licensing and training (Form F-3);
- Aircraft operations certification and supervision (Form F-4);
- Airworthiness of aircraft (Form F-5).

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FORM F-1

USOAP/AFDD AUDIT FOLLOW-UP CHECKLIST RELATING TO PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

State: [Name of State]			**Audit follow-up period:** [Dates of the audit follow-up]		
Region: [Name of region]			**Audit period:** [Dates of the audit]		
Finding	**Related protocol items**	**ICAO Ref.**	**Corrective action plan status to be verified or item to be validated**	**Corrective action plan implementation**	**Comments**
LEG/XX	LEG-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
LEG/XX	LEG-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
LEG/XX	LEG-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
LEG/XX	LEG-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
Auditor: [Name]				**Date:** [Date]	
Team Leader: [Name]					

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FORM F-2

USOAP/AFDD AUDIT FOLLOW-UP CHECKLIST RELATING TO THE CIVIL AVIATION ORGANIZATION SYSTEM

State: [Name of State]			**Audit follow-up period:** [Dates of the audit follow-up]		
Region: [Name of region]			**Audit period:** [Dates of the audit]		
Finding	**Related protocol items**	**ICAO Ref.**	**Corrective action plan status to be verified or item to be validated**	**Corrective action plan implementation**	**Comments**
			CAP-X.XXX		
ORG/XX	ORG-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
ORG/XX	ORG-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
ORG/XX	ORG-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
ORG/XX	ORG-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
Auditor:		[Name]		**Date:** [Date]	
Team Leader:		[Name]			

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FORM F-3

USOAP/AFDD AUDIT FOLLOW-UP CHECKLIST RELATING TO PERSONNEL LICENSING AND TRAINING

State: [Name of State]			**Audit follow-up period:** [Dates of the audit follow-up]		
Region: [Name of region]			**Audit period:** [Dates of the audit]		
Finding	**Related protocol items**	**ICAO Ref.**	**Corrective action plan status to be verified or item to be validated**	**Corrective action plan implementation**	**Comments**
			PEL-X.XXX		
PEL/XX	PEL-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
PEL/XX	PEL-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
PEL/XX	PEL-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
PEL/XX	PEL-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
Auditor:		[Name]		**Date:** [Date]	
Team Leader:		*[Name]*			

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FORM F-4

USOAP/AFDD AUDIT FOLLOW-UP CHECKLIST RELATING TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

State: [Name of State]			**Audit follow-up period:** [Dates of the audit follow-up]		
Region: [Name of region]			**Audit period:** [Dates of the audit]		
Finding	**Related protocol items**	**ICAO Ref.**	**Corrective action plan status to be verified or item to be validated**	**Corrective action plan implementation**	**Comments**
			OPS-X.XXX		
OPS/XX	OPS-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
OPS/XX	OPS-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
OPS/XX	OPS-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
OPS/XX	OPS-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
Auditor:		[Name]		**Date:** [Date]	
Team Leader:		[Name]			

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FORM F-5

USOAP/AFDD AUDIT FOLLOW-UP CHECKLIST RELATING TO AIRWORTHINESS OF AIRCRAFT

State: [Name of State]			**Audit follow-up period:** [Dates of the audit follow-up]		
Region: [Name of region]			**Audit period:** [Dates of the audit]		
Finding	**Related protocol items**	**ICAO Ref.**	**Corrective action plan status to be verified or item to be validated**	**Corrective action plan implementation**	**Comments**
			AIR-X.XXX		
AIR/XX	AIR-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
AIR/XX	AIR X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
AIR/XX	AIR-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
AIR/XX	AIR-X.XXX			☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	
Auditor:		[Name]		**Date:** [Date]	
Team Leader:		[Name]			

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Appendix G
Audit Follow-up Observation/Recommendation Form

An audit follow-up observation/recommendation form should be completed for each audit follow-up observation/ recommendation related to safety concerns (see Chapter 6A, Section 6A.1.2). Overleaf is a sample form used to report observations and recommendations.

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FORM G-1

AUDIT FOLLOW-UP OBSERVATIONS/RECOMMENDATIONS

State: [Name of State]	**Audit follow-up period:** [Dates of the audit follow-up]

General Note.— If, incidental to the follow-up mission, the audit follow-up team has significant concerns about safety issues in relation to the State's conformance with or adherence to SARPs, procedures, guidance material, or good aviation safety practices, it will record those concerns as "observations" requiring corrective action by the audited State. Such observations, together with recommendations for corrective action, will be recorded on Form G-1. The observations will be included in a separate section of the audit follow-up report, and the audited State will be encouraged to submit a corrective action plan. Observations will not be included in the non-confidential audit follow-up summary report.

OBSERVATION/RECOMMENDATION: AREA:	
Auditor: [Name]	**Date:** [Date]
OBSERVATION/RECOMMENDATION: AREA:	
Auditor: [Name]	**Date:** [Date]
OBSERVATION/RECOMMENDATION: AREA:	
Auditor: [Name]	**Date:** [Date]

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Appendix H
Summary of Findings Update Form

A form for updating the audit summary of findings contained in the audit final report should be completed. Overleaf is a sample form used to update the summary of findings.

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FORM H-1

UPDATE OF THE AUDIT FINAL REPORT SUMMARY OF FINDINGS

State: [Name of State]	**Audit follow-up period:** [Dates of the audit follow-up]
LEGISLATION AND REGULATIONS:	
Auditor: [Name]	**Date:** [Date]
ORGANIZATION:	
Auditor: [Name]	**Date:** [Date]
PERSONNEL LICENSING AND TRAINING:	
Auditor: [Name]	**Date:** [Date]
AIRCRAFT OPERATIONS AND SUPERVISION:	
Auditor: [Name]	**Date:** [Date]
AIRWORTHINESS OF AIRCRAFT	
Auditor: [Name]	**Date:** [Date]

— END —

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ICAO TECHNICAL PUBLICATIONS

The following summary gives the status, and also describes in general terms the contents of the various series of technical publications issued by the International Civil Aviation Organization. It does not include specialized publications that do not fall specifically within one of the series, such as the Aeronautical Chart Catalogue *or the* Meteorological Tables for International Air Navigation.

International Standards and Recommended Practices are adopted by the Council in accordance with Articles 54, 37 and 90 of the Convention on International Civil Aviation and are designated, for convenience, as Annexes to the Convention. The uniform application by Contracting States of the specifications contained in the International Standards is recognized as necessary for the safety or regularity of international air navigation while the uniform application of the specifications in the Recommended Practices is regarded as desirable in the interest of safety, regularity or efficiency of international air navigation. Knowledge of any differences between the national regulations or practices of a State and those established by an International Standard is essential to the safety or regularity of international air navigation. In the event of non-compliance with an International Standard, a State has, in fact, an obligation, under Article 38 of the Convention, to notify the Council of any differences. Knowledge of differences from Recommended Practices may also be important for the safety of air navigation and, although the Convention does not impose any obligation with regard thereto, the Council has invited Contracting States to notify such differences in addition to those relating to International Standards.

Procedures for Air Navigation Services (PANS) are approved by the Council for worldwide application. They contain, for the most part, operating procedures regarded as not yet having attained a sufficient degree of maturity for adoption as International Standards and Recommended Practices, as well as material of a more permanent character which is considered too detailed for incorporation in an Annex, or is susceptible to frequent amendment, for which the processes of the Convention would be too cumbersome.

Regional Supplementary Procedures (SUPPS) have a status similar to that of PANS in that they are approved by the Council, but only for application in the respective regions. They are prepared in consolidated form, since certain of the procedures apply to overlapping regions or are common to two or more regions.

The following publications are prepared by authority of the Secretary General in accordance with the principles and policies approved by the Council.

Technical Manuals provide guidance and information in amplification of the International Standards, Recommended Practices and PANS, the implementation of which they are designed to facilitate.

Air Navigation Plans detail requirements for facilities and services for international air navigation in the respective ICAO Air Navigation Regions. They are prepared on the authority of the Secretary General on the basis of recommendations of regional air navigation meetings and of the Council action thereon. The plans are amended periodically to reflect changes in requirements and in the status of implementation of the recommended facilities and services.

ICAO Circulars make available specialized information of interest to Contracting States. This includes studies on technical subjects.

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